

# **Evaluation of the Western Cape Provincial Government's land provision programme for new state health facilities**

by

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## Declaration

By submitting this thesis electronically, I declare that the entirety of the work contained therein is my own, original work, that I am the owner of the copyright thereof (unless to the extent as specifically stated otherwise) and that I have not submitted it previously in its entirety or in part for obtaining any qualification.

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HF Conradie

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    - Mr Joey Pillay Chief Director of Property Management;
    - Ms Megan September PA to the Chief Director; and
    - Ms Rene Koeries Deputy Director: Property Acquisitions
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## **Abstract**

The research was undertaken during 2009/2010 and focused on the Western Cape Department of Transport & Public Works (DPW) programme for the provision of land for the construction of new state health facilities (hospitals, community health centres, clinics) in the province. The purpose of the study was to determine whether the Department has instituted proper policy to deliver the required land, and whether this policy is implemented successfully. The study was thus, in essence, an evaluation of a government policy programme.

The following are the overall findings and conclusions, per chapter:

- Chapter 1 provides an introduction, with reference to the main research question and related questions.
- In Chapter 2 important theory on policy evaluation is presented, and a Policy Documentation Template (PDT) developed, capturing the essential principles and elements for effective public policy documents.
- In Chapter 3 important selected sections of the existing conceptual/theoretical body of knowledge on policy implementation are explored and analysed by the researcher, leading to identification of critical implementation principles/lessons as well as the Policy Implementation Monitor (PIM).
- In Chapter 4 the DPW's set of policy documentation related to land provision for new state health facilities is studied, described, analysed, and compared with the PDT. It is found that an effective and enforceable annual operational plan does not exist, rendering successful policy implementation and monitoring impossible.
- In Chapter 5 the implementation of the policy documents is described, and critically analysed. The PIM and lessons learnt from policy implementation theory are applied to DPW's implementation practice. Serious shortcomings are found in the implementation of the land provision programme – especially regarding ineffective cooperation between the Provincial Departments of Public Works and Health – resulting in delayed delivery of land for new state health facilities.
- Chapter 6 contains the researcher's conclusions and policy recommendations.

The researcher produces the following recommendations for consideration by the Minister, to address the problems in the DPW land provision policy programme:

- A. Appointment of a policy think tank (group of independent expert professional individuals with high-order management skills) with the following tasks:

- Facilitate the establishment of a Health Facilities Partnership Contract (HFPC) between DPW and the Provincial Department of Health by 31 March 2011.
  - Ensure that the HFPC contains the essential elements on functioning of the partnership, and includes the mutually agreed new state health facility projects, of which construction must start over the next three financial years (2011/12 – 2013/14); also initiate an electronic management cockpit to be used by the Minister for real-time (24 hr) monitoring of progress with the priority land/facility projects.
  - Document a broad policy and strategic framework for innovative asset management approaches and models that will maximise revenue streams for DPW, and increase the value of the asset base of the Western Cape Provincial Government; this policy framework should include reference to inner city renewal in Cape Town, as well as asset-based urban regeneration and economic development in other larger towns of the Western Cape (e.g. George, Mossel Bay, Oudtshoorn, Hermanus, Paarl/Wellington, etc.).
  - Make recommendations regarding updating of the asset register of DPW, including reference to effecting and conclusion of the transfer of various real estate properties that have not been transferred to DPW yet, and regarding sophisticated information/communication technology (ICT) solutions that will modernise DPW's asset management to international best practice standards.
- B. The 'policy think tank' (Ministerial advisory group) should have experts from outside DPW as members, but will have to engage with the DPW top management (Head of Department; Chief Director of Property Management; Director of Property Development) in a partnership context in order to have the HFPC established.

## Opsomming

Die navorsing is onderneem gedurende 2009/2010 en fokus op die Wes-Kaap Departement van Vervoer & Openbare Werke program vir die voorsiening van grond vir die konstruksie van nuwe staatsgesondheidsfasiliteite (hospitale, gemeenskap gesondheidsentrums, klinieke) in die provinsie. Die doel van die studie was om vas te stel of die Departement behoorlike beleid ingestel het om die vereiste grond te lewer, en of hierdie beleid suksesvol geïmplementeer word. Die studie was dus, in wese, 'n evaluering van 'n regeringsbeleidsprogram.

Die volgende oorhoofse bevindings en gevolgtrekkings word gemaak, per hoofstuk:

- Hoofstuk 1 beslaan die inleiding, met verwysing na die hoof navorsingsvraag en verwante vrae.
- In Hoofstuk 2 word belangrike teorie oor beleidsevaluering voorgehou, en 'n Beleid Dokumentasie Patroonplaat (BDP) word ontwikkel, wat die wesenlike beginsels en elemente vir effektiewe openbare beleidsdokumente bevat.
- In Hoofstuk 3 word belangrike geselekteerde dele van die bestaande konseptuele/teoretiese kennispoel oor beleidsimplementering ondersoek en ontleed deur die navorser, wat lei na die identifikasie van kritiese implementering beginsels/lesse, asook die Beleid Implementering Monitor (BIM).
- In Hoofstuk 4 word die Departement se stel beleidsdokumente rakende grondvoorsiening vir nuwe staatsgesondheidsfasiliteite bestudeer, beskryf, ontleed en vergelyk met die BDP. Dit word bevind dat geen effektiewe en afdwingbare jaarlikse operasionele plan bestaan nie, wat suksesvolle beleidsimplementering en monitering onmoontlik maak.
- In Hoofstuk 5 word die implementering van die beleidsdokumente beskryf en krities ontleed. Die BIM en lesse uit die beleidsimplementering teorie word toegepas op die Departement se implementeringspraktyk. Ernstige tekortkominge word gevind in die implementering van die grondvoorsiening program – veral rakende die oneffektiewe samewerking tussen die Departemente van Openbare Werke en Gesondheid – met vertraagde lewering van grond vir nuwe staatsgesondheidsfasiliteite die gevolg.
- Hoofstuk 6 bevat die navorser se gevolgtrekkings en beleidsaanbevelings.

Die navorser produseer die volgende aanbevelings vir oorweging deur die Minister, om die probleme in die Departement se grondvoorsiening beleidsprogram aan te spreek:

- A. Aanwysing van 'n beleid denkgroep ('n groep onafhanklike deskundige individue met hoë orde bestuursvaardighede) met die volgende take:

- Fasiliteer die vestiging van 'n Gesondheidsfasiliteite Vennootskap Kontrak (GFVK) tussen die provinsiale Departemente van Openbare Werke en Gesondheid, teen 31 Maart 2011.
  - Verseker dat die GFVK die wesenlike elemente bevat betreffende funksionering van die vennootskap, asook die wedersyds ooreengekome projekte vir nuwe staatsgesondheidsfasiliteite waarvan konstruksie 'n aanvang moet neem oor die volgende drie finansiële jare (2011/12 – 2013/14); inisieer ook 'n elektroniese bestuurskajuit vir gebruik van die Minister in die konstante (24 uur) monitering van vordering met die prioriteit grond/fasiliteite projekte.
  - Dokumenteer die breë beleid en strategiese raamwerk vir innoverende batebestuur benaderings en modelle, wat die inkomste strome vir die Departemente sal optimaliseer, en die waarde van die bate basis van die Wes-Kaap Provinsiale Regering sal vergroot; hierdie beleidsraamwerk moet verwysing na middestad-vernuwing in Kaapstad insluit, asook bate-gefundeerde stedelike en ekonomiese ontwikkeling in ander groter dorpe in die Wes-Kaap (soos George, Mosselbaai, Oudtshoorn, Hermanus, Paarl/Wellington, ens.).
  - Doen aanbevelings rakende die opdatering van die bate register van die Departement, insluitende verwysing na die uitvoer en afhandeling van die oordragte van verskeie vaste eiendomme wat nog nie oorgedra is na die Departement nie, asook rakende gesofistikeerde informasie/kommunikasie tegnologie (IKT) oplossings wat die Departement se batebestuur sal moderniseer tot internasionale beste-praktyk standaard.
- B. Die 'beleid denkgroep' (Ministeriele adviesgroep) moet deskundiges van buite die Departement as lede hê, maar sal in gesprek moet tree met die Departement se topbestuur (Hoof van Departement; Hoof Direkteur van Eiendomsbestuur; Direkteur van Eiendomsontwikkeling) in n vennootskapskonteks, sodat die GFVK tot stand kan kom.

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## List of acronyms and abbreviations

ANC	African National Congress
APP	Annual Performance Plan (in References: Rep of South Africa)
DA	Democratic Alliance
DOH	Western Cape Provincial Department of Health
DORA	Division of Revenue Act
DPW	Western Cape Provincial Department of Transport & Public Works
HFPC	Health Facilities Partnership Contract
ICT	Information/Communication Technology
GIAMA	Government Immovable Asset Management Act
MEC	Member of the Executive Council (Minister in the Western Cape Cabinet)
M&E	Monitoring & Evaluation
MTEC	Medium Term Expenditure Committee
MTEF	Medium Term Expenditure Framework
PDT	Policy Documentation Template
PIM	Policy Implementation Monitor
PGWC	Provincial Government Western Cape
PFMA	Public Finance Management Act
PPP	Public Private Partnership
RSA	Republic of South Africa
SO	Strategic Objective
SP	Strategic Plan of DPW (in References: Republic of South Africa)

*Let no one be discouraged by the belief there is nothing one man or one woman can do against the enormous array of the world's ills – against misery and ignorance, injustice and violence...Few will have the greatness to bend history itself; but each of us can work to change a small portion of events, and in the total of all those acts will be written the history of this generation...*

*It is from the numberless diverse acts of courage and belief that human history is shaped. Each time a man stands up for an ideal, or acts to improve the lot of others, or strikes out against injustice, he sends a tiny ripple of hope, and crossing each other from a million different centres of energy and daring, those ripples build a current which can sweep down the mightiest walls of oppression and resistance.*

**John F. Kennedy, USA**

## **CHAPTER 1**

### **INTRODUCTION**

#### **1.1 MOTIVATION FOR THE STUDY**

Populations of large parts of the world are today living in extreme poverty, manifested in living conditions where lack of housing, poor health care, low levels of education, high unemployment and, generally, everyday hardship, hopelessness, depression and suffering are commonplace. These conditions are especially prevalent in parts of South America, Africa and the East.

The global struggle against poverty is placed in context by the following statement by Jeffrey D. Sachs of the University of Columbia in New York: “The number of people mired in the lowest depths of poverty has shrunk since the early 1980s, as the global economy has grown stronger. But these gains were concentrated in East Asia, leaving behind more than a billion unfortunates in sub-Saharan Africa, Central Asia and the mountainous parts of Central America and the Andean region.” In 2001 the numbers of extremely poor people in Sub-Saharan Africa were 313 million, one third of the global number. (Sachs 2005: 61)

The question that immediately arises is: will the eight Millennium Development Goals ever be achieved without an enforceable global contract amongst partner countries? Or is such a contract impossible?

In the Southern African region poverty is rife – the vast majority of the Southern African population carry this heavy burden. In the Republic of South Africa the struggle against undemocratic governance – steeped in centuries of colonialism – eventually brought forth a democratic state in 1994. This country is currently faced with two major challenges:

- a) To nurture and actively build a culture of tolerance, human rights, non-racialism, nation-building and equality in a society that, at present, is still broken and hurting as a result of its past.
- b) To overcome in the struggle against poverty and all its manifestations and consequences.

It is especially point (b) above that provides the South African context within which this study is undertaken.

## **1.2 PURPOSE OF THE STUDY**

Perceptions exist that the slow release of land impedes the delivery of new public health facilities to the population of the Western Cape Province. These perceptions arise from occasional under-spending of capital budgets and prolonged efforts by government departments to get specific projects off the ground.

Delayed delivery of the required facilities is detrimental to the status of health, especially in socio-economically vulnerable communities, and to development generally. An unhealthy population is an additional burden to the state and society, financially and otherwise. Hence the importance of delivery of the required health facilities and health services/programmes – on time and appropriately.

The purpose of this study is to investigate and shed light on challenges in provincial governance, with a focus on the Western Cape Provincial Government's Department of Transport & Public Works (DPW), and on DPW policies to deliver land for new/additional public health facilities such as state hospitals and clinics.

The current land provision policy programme of DPW will be evaluated, and possible policy adjustments for improved delivery will be explored. The study focuses on both theory and practice, on policy documents and on implementation. The study will be descriptive, explanatory and analytical in nature – a policy programme evaluation.

It is hoped that the findings and outcomes of the study will be of value to government representatives, officials, and policy makers. Any such value will hopefully - via policy changes, strategic decisions and determined action - result in practical benefits for the South African people, and especially help citizens still exposed to conditions of poverty.

## **1.3 RESEARCH PROBLEM AND QUESTIONS**

### **1.3.1 Research problem statement**

Land is an important instrument and resource to address specific needs in society. The delivery of new state facilities (e.g. health facilities) can either be accelerated and enhanced or even be restricted by the government's programme to release the required land for construction of facilities. There is currently a lack of clarity on the impact of land release on the provision of state health facilities in the Western Cape.

### ***The Independent Research Variable***

The independent research variable is a factor selected by the researcher with a view to determine how its manipulation will affect the problem that is being investigated (University of Stellenbosch, MPA Workbook, 2009: 65). This variable can usually be introduced, removed or varied. The independent variable in this thesis is the **DPW policy programme** regarding release of land for new state health facilities.

### ***The Dependent Research Variable***

The dependent research variable is a factor observed by the researcher, to see what effect the independent variable might have on it. These variables can appear, disappear or vary, in relation to manipulation of the independent variable. For the purposes of this thesis, the **release of land** for the construction of new state health facilities will be investigated as dependent variable.

### ***General research theme***

The main research theme is therefore the way in which the Provincial Department of Transport & Public Works (DPW) releases land, and cooperates with the Provincial Department of Health (DOH) to utilise, release and acquire immovable capital assets – specifically vacant land – for delivery of new state health facilities. This theme implies the following sub-themes:

- The policy programme utilised by DPW to address the land needs for new state health facilities.
- Co-operation (or lack thereof) by the two provincial government departments responsible for delivering new state health facilities in the province; the Provincial Department of Health (DOH) being the department that carries the constitutional mandate to establish these facilities, with DPW performing a vital supportive agency and facilitation function.

### **1.3.2 Research objectives**

The research objective is to determine scientific answers to the following questions:

The main research question is: *How does the Provincial Department of Transport & Public Works' (DPW) policy programme regarding land provision affect land release for new state health facilities in the Western Cape Province?*

An answer to the main research question will include responses to the following related questions:

- Is the required policy programme in place at the DPW?
- How does DPW practically go about to deliver the necessary (requested) land for new state health facilities?
- How is the delivery of land for new facilities measured and monitored?



- Is the policy programme executed successfully, in general terms?
- What factors restrict the delivery of land for the envisaged health facilities? How can these factors be overcome?
- What recommendations can be made for improved land provision - if necessary - in terms of improved policy documentation and improved implementation measures?

### **1.3.3 Research methodology**

The researcher approached and conducted this qualitative research as follows:

*Research period:* 2010 (January to November)

Prior to conducting the research and writing up the thesis the researcher received formal authorisation from Minister Robin Carlisle (DPW) to focus the research on the land provision policy programme within DPW. In addition, his research proposal had been formally approved by his study leader, Professor Fanie Cloete.

For Chapters 2 and 3 of the document the researcher identified, studied, compared and analysed academic texts on the themes of policy evaluation and policy implementation. The purpose of this exercise was to establish the essence and characteristics of policy evaluation and implementation, before going on to apply the theory to public management practice in a South African government department (DPW). The researcher developed two checklists in these chapters, the Policy Documentation Template (PDT) – to evaluate policy documents – and the Policy Implementation Monitor (PIM) – to evaluate implementation of a policy programme.

For Chapter 4 of the thesis the researcher identified, studied, compared and analysed all the relevant policy documents of DPW's land provision programme, in order to evaluate the policy documents for this specific programme (documentary analysis). The researcher provided his comments and analyses, and evaluated the policy programme documentation by means of the PDT instrument that was developed in Chapter 2. The researcher also conducted a personal interview with DPW Budget Manager Ms Nicholas of DPW, focused on financial resources for the land provision programme.

For Chapter 5 of the thesis the researcher reviewed the implementation methods as captured in the policy documents, and interviewed senior government managers directly involved with the land provision programme, in order to determine implementation progress and challenges. The researcher conducted the following interviews (transcriptions of oral interviews): two personal interviews with (then) Chief Director Mr Cunninghame of DOH; two interviews, one personal and one telephonic, with Ms Koeries of DPW; one personal interview with Chief Director Mr Pillay of DPW. The researcher also provided a questionnaire to DPW - focused on two priority current DPW land provision projects – in order to indicate the nature of land provision implementation as well as

the practical implementation challenges. This questionnaire was responded to by Ms Koeries, representing DPW, since she is Deputy Director directly involved with land acquisitions.

For Chapter 6 the researcher summarised his findings and conclusions of Chapters 2 to 5, and then provided his well-considered policy recommendations for a changed and improved land provision policy programme.

#### **1.3.4 Overview of previous academic research on the thesis topic**

A search of what has been written by scholars on the theme of this thesis has revealed that the specific topic has not previously been studied and researched. From discussions with senior government officials it has transpired that this type of study can indeed be helpful, in view of the fact that building of new state health facilities is a priority of the South African national and provincial government, and difficulties with release of suitable land for construction of facilities can drastically impede spending of government budgets, as well as health service delivery generally. Logical consequences of insufficient delivery of health facilities are that the population at large is neglected, and health conditions do not improve, with the resultant negative effect on governance and the economy of the province and the entire country.

#### **1.3.5 Media perspective on management of government assets**

A search of media coverage of the management of government assets (e.g. land and buildings) accentuated the contentious nature of use of government assets for new property development projects. It cannot be denied that political and economic powers have a major impact on land use and the release of government land for public and private facilities.

One example can be found in the debacle and debate about alienation of a high-value property owned by the Western Cape provincial government, namely Somerset Hospital near the Waterfront in Cape Town. In this case a proposed 99-year lease of the land under then Premier Ebrahim Rasool (ANC) was questioned by Member of Provincial Parliament Mr Robin Carlisle, raising *inter alia* questions about tender procedures and the role of Provincial Government Treasury (Essop, 2007). Ironically, a year later members of the ANC themselves questioned the proposed transaction (Peyper, 2008) and it was stopped by the incoming ANC Premier Lynne Browne (Van Gass, 2008). Subsequently, the saga regarding this government asset continued, with new asset custodian approaches to the matter followed by a DA-ruled Western Cape Province in 2009/2010.

In this case, valuable government land is at stake, and debate during the past few years related to the public's need for health facilities and creative asset management models, e.g. renovating parts of the hospital, and only alienating a portion of the valuable erf for private commercial development, possibly subsidising the hospital renovation by selling only the redundant portion of

the erf. Alienation of the entire sought-after capital asset (the hospital property), and thus raising revenue to pay for the acquisition or construction of a large new public health facility in a low-income community area, was another option that was explored during this saga.

The notes above provide an illustration of the contentious and political nature of approaches to government assets; these assets being vacant land or well-positioned, high-value real estate.

#### **1.4 ROADMAP THROUGH THE THESIS**

After the introductory first chapter, Chapter 2 contains a summary and critical assessment of the current state of knowledge regarding evaluation of public sector policy programmes. A Policy Documentation Template (PDT) is developed at the end of the chapter.

In Chapter 3 a summary and critical assessment of the current state of knowledge regarding implementation of public sector policy programmes is done. A Policy Implementation Monitor (PIM) is developed at the end of the chapter, with as background more detailed implementation lessons learnt.

In Chapter 4 the current policy programme (the policy documents *per se*) of the provincial Department of Transport & Public Works (DPW), related to land provision for new state health facilities in the Western Cape, is described and assessed. The policy documentation is critically analysed and assessed, also by means of the PDT.

Implementation of DPW's land provision policies is described and analysed in Chapter 5, and also assessed against the PIM. Reference is made to two current priority land provision projects - two cases in point are critically analysed and evaluated.

In Chapter 6 a conclusion and policy recommendations are made by the researcher, based on the findings of the study after application of the developed theoretical checklists to public management practice at DPW. Innovative new delivery models and proposed adjustments to current delivery mechanisms are recommended, with a focus on improved policy documentation and accelerated policy programme implementation.

## **CHAPTER 2**

### **CONCEPTUAL AND THEORETICAL PERSPECTIVES ON THE EVALUATION OF PUBLIC POLICY PROGRAMMES**

#### **2.1 INTRODUCTION**

In this chapter various important conceptual and theoretical perspectives on policy evaluation are presented and critically assessed. From the theory presented, a new Policy Documentation Template (PDT) to measure effective public policy is developed at the end of the chapter, based on principles and elements extracted from the theory. This framework will be useful as a yardstick against which public policy documentation can be measured, and will be utilised in Chapter 4 of the thesis to evaluate the Provincial Department of Transport & Public Works' (DPW) programme of land provision towards construction of new state health facilities in the Western Cape Province. In Chapter 4 the DPW's policy documentation will be evaluated; in Chapter 5 implementation of these specific policies will be assessed.

This study thus comprises an evaluation of a specific public policy programme: its documentation and implementation. Policy evaluation generally deals with the value of a specific policy programme: does it solve the critical societal needs and problems; are the set objectives achieved; should the policy be changed? An assessment of policy implementation concentrates specifically on whether the execution of tasks does deliver the required outcomes and thus achieves the stated policy objectives in society.

#### **2.2 GENERAL POLITICAL CONTEXT OF PUBLIC ADMINISTRATION – ALL ABOUT POWER**

Based on the researcher's experience in and of the public sector over the past 20 years – and studying politics and political development via media reporting and in practice, it is clear that all public administration takes place as an extension of political power. Public administration is supposed to be about a service to society - the civil service - but this service is arranged by those in control of government institutions and taxes – the politicians. Therefore, at the very core and origin of all public administration policies and activities are: politics, political power and politicians.

## **Politics, political power, politicians**

The nature of politics has a direct effect on public policies and service delivery. The essence of politics is the struggle between different forces in society for the ultimate prize – to be in control of the government. With control of the government comes immense power; in a sense power over life and death of citizens. The governing party – in reality the few individuals within the party that are in control, the party bosses – not only has power over the lives of many people, but also has access to vast financial resources, accumulated primarily via taxes raised.

Bureaucrats (civil servants) are, in the final analysis, in the employ of these party bosses, because these bosses control government decisions regarding the structures and functions, and staffing of government departments. Especially the senior managers in government are usually closely linked or affiliated to the party political bosses that wield the sceptre in government. Stemming from this direct link with politicians, the civil service and its policies certainly are political instruments employed by politicians to protect and extend their power. Hence, senior managers in government do (and have to) push policies in a direction that is being prescribed by the political bosses. Votes have to be accumulated – if in a democratic system – and policies, *inter alia*, have to provide those votes to keep the politician in power.

In short then, power struggles between political parties and within parties, where control of the party is at stake, permeate and infiltrate the entire public service, constantly. Senior management echelons in government take part in this power struggle, whether they want to or not.

Its political origin is in a sense a set-back and non-starter for effective public administration and effective policy implementation, since the noble policy goals and programmes that are presented to the public are also political programmes, that are not only performed to deliver services, but must influence the citizen in one or the other political direction. Power struggles located within bureaucracies unfortunately take away much focus and energy from delivery of goods and services to communities. This scenario is one of the biggest reasons why decisions and service delivery by government departments often are so painfully slow: government managers are often busy with their own party-political and/or personal agendas, which are not even necessarily in line with the official government agenda of the day.

Changes in policy programmes do not come about easily, and often only with much struggle between opposing forces. It is important to bear in mind that the nature of power and power

struggles remains part and parcel of political and public policy processes, giving rise to much complexity, friction, tension and conflict within the arena of public administration.

### ***La vie politique* – link between politics and policy**

McLean (1996: 378, 379) defines policy studies as analyses of the process of policy formation. He then plainly states that it is “difficult to distinguish the study of policy from that of politics, since there can be no politics without policy”. The French *politique* covers both, *la politique publique* (policy) and *la vie politique* (roughly the Anglophone ‘politics’). Here the integral nature of public policy and politics is emphasised – the one does not exist without the other. McLean also makes the point that normative policy studies focus on how policy is made and how the processes can be improved, overlapping into studies of policy evaluation and policy implementation. Analytical policy studies focus largely on politics *per se*.

From the above context of public administration and public policy development, it is clear that any policy evaluation study and assessment of policy implementation must bear in mind that public policy is dynamic and constantly influenced by the complex nature of politics and struggles for control, as has been experienced since ancient times right up to today in our own situation in South Africa, and in the Western Cape Province. The cardinal quality required of a successful policy maker and public manager – whether internationally, or in national or other tiers of government service – remains that of resolute determination, persistence and stepping forward with practical implementation/action, often against many odds.

The following section focuses on the theoretical context of public policy evaluation, and in Chapter 3 policy implementation theory is studied in more detail.

## **2.3 THEORETICAL PERSPECTIVES ON POLICY EVALUATION**

In this part of the chapter the nature of public policy evaluation is investigated. Important principles and elements of effective policy evaluation, as described by acknowledged scholars, are highlighted and critically assessed.

### **2.3.1 Critical points of departure**

De Coning (1994: 266) captures the fundamental processes and phases in policy making as follows: process initiation, policy design, policy analysis, policy formulation, ‘political’ mandate/decision, policy advocacy, policy implementation, monitoring and evaluation.

Identification of these processes and phases is helpful, but it must be acknowledged that an entire policy development process can be flawed unless a proper political mandate is obtained right at the start. Furthermore, it is accepted that the mentioned processes and phases do not always take place in linear fashion, one after the other, but can often take place at the same time, with mutual influence.

Cloete (2000: 151) highlights the essence of policy management and analysis as “lessons from their successes and failures ... learnt in order to maximise the use of scarce resources in the establishment of sustainable service delivery systems as an important element of good governance”.

Critical lessons from the established theory will be captured in the Policy Document Template (PDT) at the end of this chapter, and these lessons will in further chapters be applied to the practice of land provision for new state health facilities in the Western Cape Province. Appropriate vacant land for development is indeed a scarce commodity (resource), especially in South African cities, which are increasingly populated.

Wholey, Hatry and Newcomer introduce their *Handbook of practical program evaluation* by stating that “we are in an age when elected officials, the media, and the public have become much more demanding about accountability and receiving quality services in return for tax dollars ... which of these services are producing adequate results?...where are improvements needed?” (1994:1). Accountability is placed high on the evaluation agenda. Furthermore, they confirm that policy makers and managers will always try to obtain valid, timely, and affordable evaluative information.

Policy evaluation is important to inform the public as to whether governments (public representatives) are really addressing their needs and priorities. Such evaluation cannot take place without proper monitoring of policy programmes. Policy changes can only be made when it is known whether good plans are being executed effectively or not. Thus, accountability of public managers is of paramount importance. The PDT, developed later in this chapter, is an instrument that will assist public managers with policy monitoring and evaluation.

Albaek makes the important point that “politics is politics and will remain so no matter what social science says or hopes. A realistic assessment of how social science can be used in public policy-making must take as its point of departure a sober view of what politics is and from there consider how social science can be used in a political process, not vice versa.” (Rist, 1995: 17)

Thus, to interpret Albaek’s lamentation, it must be remembered that the political nature of public policy, as well as its implementation, highly complicates any scientific study of the factors which

influence policy outcomes. It can only be assumed that Albaek refers to the dark recesses of political power struggles and political schemes, *inter alia*. With politics it often is not 'what you see is what you get'.

Taylor and Balloch (2005: 251) stress the advantages of taking a positive approach when doing evaluation, as opposed to cynicism that focuses on what is wrong only. A collaborative effort with the evaluated organisation to discover what is healthy and successful in the organisational life will result in evaluations that are more useful, and not rejected outright. The processes by which outcomes are achieved in an organisation are as important for study as achievement of the end goals themselves.

Recognition is a scarce commodity in public administration, generally contributing to low levels of morale in the public service. Good and effective work within government departments must be recognised by managers. In addition, opinions of policy evaluators that are simply critical and only see the negative, are of no value to public managers. Policy evaluation should start with the question: what is good and how do we reward that and build on it? Only then ask: where are we not achieving our goals, and why? The goals must be clear, and if they are not achieved within time frames, administrative processes must, indeed, be investigated and changed, if required.

Taylor and Balloch (2005: 251) highlight the importance of evaluators' sharing what is learnt through evaluation, contributing to informed decision-making in organisations. They are of the view that the evaluator is not only negotiator and counselor, but must understand the political context and political constructs at play.

It must be emphasised, though, that evaluators must be seen as objective and not politically or in other ways biased, for their views to be accepted and of value in an organisation. Furthermore, the policy evaluator's policy recommendations will of course only have effect to the measure in which the political decision-makers and policy makers in a government department decide to make use of such recommendations.

Cloete (2006: 276) makes the important point that systematic policy assessments in the public sector are important instruments to influence future national and international funding for policy programmes.

Here it is correctly demonstrated that the assessment of policies can be instrumental in obtaining additional funds for programmes or projects, increasing the positive impact that a government department can have in society. It is unfortunate, and must be mentioned as a shortcoming in South



Africa and many other countries, that the capacity to evaluate policies often does not exist within government departments, while objective expert evaluators and consultants are not being contracted regularly and sufficiently.

Hart and Vromen are of the view that “the powerful have always sought advice from the knowledgeable” (2008: 138) all over the world, and that public policy ‘think tanks’ have a renewed role to play in the current era. The term ‘evidence-based policy’ is currently used, indicating the importance of scientific policy monitoring and evaluation. The authors say (2008: 138) that public policy think tanks must rethink their role in the increasingly boundary-less, highly networked societies of today, in order to increase policy relevance and impact in societies.

Policy think tanks, where scientific policy information is being considered, can be vital instruments towards policy improvement, as long as a clear process exists whereby advice from the policy experts in the think tank can be practically integrated into improved policies and, especially, improved results in society. Furthermore, scientific policy monitoring can only take place where policy goals are clearly stated/documented, with set time frames indicated.

### **2.3.2 General principles of policy evaluation**

In policy evaluation (assessment) it is important to understand why and how evaluation should be done, in order to measure policy results. According to Cloete in his chapter on policy evaluation, evaluation should be viewed as “a judging process to compare explicit and implicit policy objectives with real or projected outcomes or results or impacts” (Cloete, Wissink & De Coning, 2006: 247). It is “a hybrid of applied social science research and practical policy planning...and applies the normal available approaches, methodologies and procedures of social research to practical policy issues in society” (Cloete *et al.*, 2006: 248). Cloete then emphasises the following critical aspects/questions related to policy evaluation:

- What resources are employed to achieve which objectives?
- Are the policy objectives being achieved?
- How should the policy programme be changed in order to improve effectiveness?

Policy evaluation in its simplified form must indeed provide answers to basic questions such as: What is the problem (need in society)? What is the plan (policy) to solve/address the problem? Is this a good policy? Is it being executed successfully? If not, why not? How can the situation be rectified?

Cloete (Cloete *et al*, 2006: 274-76) is of the view that independent consulting experts may be less biased in performing evaluations than evaluators who are employees or managers within a policy programme. Such experts will often provide a more objective and useful perspective to policy-makers than insiders.

DeLeon and Vogenbeck (Rabin, Hildreth, and Miller, 2007: 518) highlight the pivotal evaluation questions as: Are these programs working and if not, why not and what can be done to improve them? These authors created a very useful cryptic summary of the essential evaluation questions.

Vedung (1997: 28) indicates the essence of his thinking on public policy evaluation in the following manner:

- Evaluation is a strategy of public governance, control and decision making.
- The brainpower of political and social scientists and scholars is utilised to further the interests of the state, resulting in well-grounded governance decisions.
- Perceptions, opinions, intentions, and judgments all play roles in public administration and politics, and are worth investigating.
- Science and social researchers are needed to monitor operations and establish impacts, since the interventions of the modern state are so extensive, far-reaching and complicated.

The importance of policy evaluation as a management control mechanism will be emphasised in the PDT.

Moore (1995: 162 – 172) states that:

- Effective public policy will reflect high-quality decisions. Quality decisions have a large measure of process as well as substantive measures. When making or changing policy, consultation with appropriate interest parties must take place, and the legal rules governing the process of decision-making must be followed. All relevant facts, values, alternatives and consequences must be available for consideration – understood as “substantive measures”.
- Getting closure on policy decisions is important; consultations cannot carry on indefinitely. Closure can be forced by applying high-level authority and deadlines.
- Special commissions are sometimes utilised to assist the processes of policy change. These commissions can often be seen as more objective and independent than the politicians and public managers directly involved, and thus strategically decrease resistance to policy change.

Policies can indeed only be changed through legal and mandated decisions; clear processes are required according to which such decisions should be taken.

The essence of Cloete's study of the government-wide monitoring and evaluation system in South Africa (2009: 308) can be summarised as follows:

- Many variables influence policy systems, from within organisations (internally) as well as from the outside (external environment).
- Evidence-based policy assessment relies on the existence of an effective monitoring and evaluation capacity in public organisations.
- Monitoring and evaluation is described as a “higher order management function” (2009: 295), a complex management sub-system.
- The hierarchical structure of government and the loose networking and interaction of autonomous agencies complicate monitoring and evaluation, as do the constant political and managerial turf battles and conflicts of interest. The authority relationships between stakeholders often change constantly.

Cloete argues (2009: 308) that a decentralised implementation approach will help policy implementors to pursue their own goals, and that systematic monitoring and evaluation activities should be “institutionalised as mainstream components of public administration” and management processes in the South African public sector to improve implementation outcomes. Implementation must be “fast-tracked and better co-ordinated within explicit, realistic time frames to enable effective project management of the system”. “Single point management responsibility” and an “organisational culture of network co-operation rather than hierarchical competition” should be actively implemented.

Monitoring and evaluation systems must indeed be more formalised and institutionalised. Cloete correctly emphasises the importance of evidence-based monitoring as an instrument to enhance effective implementation outcomes. Implementation and monitoring unfortunately becomes even more complex when achievement of a department's own goals is constantly affected by the (weak) performance of another department. However, such impediments to government service delivery should be actively pinpointed by the top management echelons and political heads, and must be corrected. It cannot remain an on-going excuse for poor performance.

### **2.3.3 Policy evaluation criteria**

Patton and Sawicki emphasise the importance that “policies and programs be maintained and monitored during implementation to ... measure the impact they are having, to determine whether they are having the impact intended, and to decide whether they should be continued, modified, or

terminated” (1993: 63). Furthermore it is mentioned that “we must not dismiss the possibility that a program could not be implemented as designed” (1993: 64), referring to viability of programmes.

Important categories of evaluation criteria are described by the same authors as (1993: 208) technical feasibility, economic and financial possibility, political viability, and administrative operability. These categories of evaluation criteria are in the researcher’s view indeed useful when public policies are assessed.

Hanekom states that public policy evaluation “is concerned with trying to determine the impact of a policy on real-life situations” (1987: 89) and that policy evaluation may lead to finding better policies to achieve objectives, and also to changing existing objectives. He refers to public policy as an instrument for action, and emphasises the building blocks of policy as processes that deal with participation, formulation, analysis, innovation, rationalisation, implementation and evaluation. He argues that every citizen is affected by the policies of the state, and no one is immune to policy decisions by public office bearers; hence it is important that public administrators and students should strive to a deeper understanding of public policy processes and its manifestation in society.

Hanekom stresses (1987: 96) that evaluation must provide new information related to a particular policy. He provides the following evaluation criteria for improved quality in evaluations:

- Relevance: information obtained must be useful to policy-makers
- Objectivity: conclusions must be presented in an unbiased manner
- Usability: information presented must be comprehensible

Furthermore, the background to the research problem must be clear, the problem itself must be stated lucidly, and alternative solutions and recommendations must follow. He concludes his discussion of policy evaluation by highlighting the following salient features of meaningful evaluation:

- Evaluation focuses on change brought about in real-life situations via a particular policy, whereas policy monitoring has as its aim determination of the what, how and why of policy.
- Specialists from outside public institutions can assist to determine the steps to be taken in policy adjustment.

Hanekom’s focus on the research problem during policy evaluation must be acknowledged as important. His emphasis on the real-life effects of policy adjustment is crucial.

Muller (in Schwella, Burger, Fox, Muller) is of the view that the term evaluation “is normally used to refer to a formalised process documenting the consequences of any action on the environment” (1996: 289), and that public managers must manage within government and across government.

Muller touches on a critical area. The ability (or inability) of public managers to perform what we shall call *cross-cutting project management* influences the effectiveness and pace of delivery in public administration. Although the silo-like administrative structure of government departments complicates project management, there remains a need for mandated and skilful project managers that can drive projects to completion, across the boundaries of government departments. Such project managers must receive the necessary mandates, though. Where one department must, for instance, release land for facilities funded by another department, innovative project management is essential for success.

#### **2.3.4 Process evaluation and programme evaluation**

Scheirer indicates that process evaluation “opens up the black box behind a program label”, revealing the realities of its day-to-day programme delivery. He states that “full-scale process evaluation...requires careful attention to the conceptual design of measurements, the creation of measuring tools, and the collection of quality data ...”. His conclusion is that “thoughtful data design and collection, and quantitative data analysis methods can create indexes of the extent of implementation and link process evaluation with impact data”. (Wholey, Hatry, and Newcomer, 1994: 40)

Administrative processes must be logical and the activities taking place must be measurable each step of the way towards achievement of set goals.

Shafritz and Borick indicate that process evaluation may “examine aspects of a program’s operations while they are in place” (2008: 123), and advise that the results be integrated into the organisational management processes.

It is important that organisational processes and operations must monitored and evaluated constantly, and that improvements be made without long delays.

These authors highlight the need for managers to ensure that objectives are appropriate and that goals are reached efficiently and effectively (2008: 124). This will in the researcher’s view probably always remain the most critical task of all public managers.

Simon (2007: 179 – 181) found that evaluation is a “highly technical process” of determining whether a policy meets the identified objectives and goals. He emphasises that evaluations will often assess the processes employed to accomplish goals as well as the impacts of policy in society.

As practical example of the above-mentioned “processes” and “impacts” one can study the cooperation between two departments, and how their administrative processes and implementation approaches affect the timeous release of vacant land for construction of state health facilities. Those facilities – or lack thereof – will positively or negatively impact on the health services and conditions in society.

Kraft and Furlong (2007: 173) state that programme evaluation focuses more on “policy results or outcomes than on the process of implementation.” They bring the societal contribution and difference that can be made by such research studies to the fore when they indicate how in the USA the government’s programme to discourage drug use among school children – the DARE programme – has been changed when it was found that increased programme funding made no difference to children’s behaviour.

### **2.3.5 Policy evaluation methodologies**

Cloete utilises an evaluation interview structure which concentrates on the following governance areas:

- “Extent of government intervention.
- Capacity of public sector to deliver: central, provincial, local.
- Positive features of public management system.
- Negative features of public management system.
- Changes needed for improved delivery:
  - Structural/ functional design.
  - Management processes (strategic and operational).
  - Culture (political and organisational).
  - Finances.
  - Human resources.
  - Information technology” (2000: 169)

It is, indeed, important to not only be critical when evaluating policies, but to acknowledge the elements in a policy programme that are effective. Furthermore, the identification of spheres in which changes may be needed is very useful, and will be returned to as part of the PDT later in this chapter.

Dunn, in his book *Public Policy Analysis* (1994: 415), presents typical policy evaluation questions in his ‘Interview protocol for user-survey analysis’:

- What are the objectives of the policy?
- What would constitute acceptable evidence of the achievement of the policy program objectives? Is this information available?
- What policy actions (e.g. resources, guidelines, staff activities) are performed to achieve the objectives?
- What do stakeholders expect of the program? Are these expectations consistent?
- What is the most serious obstacle to achieving objectives?

These policy evaluation questions by Dunn penetrate to the essence of a policy programme, and a truthful response to the questions will demonstrate whether the policy is successful or not, and what needs to be changed to ensure greater effectiveness.

### **2.3.6 Policy evaluation results and influencing public policy**

Vedung (in Cloete, 1997: 281) summarises the importance of proper utilisation of evaluation results and effective evaluation reports:

- The report should display a startling fact to draw attention.
- Reports should include graphics to summarise trends found.
- Substantive findings must be presented first, followed by the research methods. Methodological detail can be appended as attachments to the report.
- The executive summary must start with the major substantive findings.
- Findings and recommendations should be provided to the relevant audience before the final report is completed – appropriate stakeholders must receive written copies of the preliminary papers and final report.
- Evaluators should be involved in selling their findings.
- Results should be communicated in person to critical stakeholder/s.

Comprehensible summaries of the major substantive findings of research increase the possibility of research results influencing public policies. It is also important to note that researchers can play an active role to lobby for the implementation of their research recommendations.

Dunn argues that “while evaluation has several meanings (appraisal, rating, assessment), evaluation in a more specific sense refers to the production of information about the extent to which policy outcomes contribute to the achievement of goals and objectives”. (1994: 419)

Dunn is correct in his contention that if research does not produce valuable and useful (new) information to policy makers, it is simply a waste of time.

Burger in his conclusion regarding information management in the public sector, states that “key performance data must be generated periodically to see how it compares with planned results ... [and] control and evaluation of information systems is needed to verify the accuracy of the systems and to evaluate their organisational worth.” (Schwella *et al*, 1996: 219)

The importance of proper information for monitoring and information systems cannot be over-emphasised.

Influencing public policy is, to a large extent, based on leading and pressurising politicians and senior bureaucrats towards a certain stance. In his book on propaganda - taking influence of people to an extreme - Ellul (1973: 303-313) describes the feared propaganda programme of Mao Tse-Tung. The researcher deducted and adapted the following strategies that can be employed to influence policy makers and interest groups within organisations (and externally) from Ellul's description, turning the negative of Mao, then, into what is positive for public administration today:

- Officials need to feel part of a positive organisation and programme.
- Positive information and education about the achievements of the organisation must be shared constantly.
- The constant battle for positivity must be won in the thought life, affecting emotions and attitudes – a new, positive view of the world must be cultivated.
- Feelings of patriotism, prestige and pride are important.
- United action towards clear goals must be strived towards.

The broader picture of how the good work done by civil servants practically improves quality of life in communities is often lost in the process of policy implementation. The result is that many civil servants and public managers lack the necessary pride and patriotism in their work situation. Successes in policy implementation must be shared amongst managers and officials, building positive attitudes to attain even greater heights in public administration.

The researcher is not suggesting that civil servants must be brain-washed with dishonest propaganda, but the point is that not only must policy makers at times be influenced to change policies, but especially those managers and officials who implement the policies must be influenced to celebrate and take courage from their achievements. In a developing country the key word is acceleration of the delivery of critical public goods and services to communities that are still caught up in poverty and unemployment.



## 2.4 THE POLICY DOCUMENTATION TEMPLATE (PDT)

In the foregoing perspectives and analyses of public policy evaluation the researcher highlighted important points of departure and principles, critical elements in policy assessment, policy evaluation criteria and processes, policy evaluation methodologies, and how policy evaluation results can influence public policy development. The researcher subsequently extracted, categorised, summarised and captured these critical elements of effective public policies – and the core lessons learnt from our analysis – into the Policy Documentation Template (PDT).

The PDT can be used to measure the effectiveness of public policy documentation (see Chapter 4 for practical application), with a view to determine whether such documentation contains the most critical elements required within good public policy documents. Effective public policy (the actual policy documentation) must contain *at least* the elements/characteristics as highlighted in the PDT. Bear in mind that a public policy programme often exists of a series of policy documents, which must be read and evaluated jointly.

Nico Roux's "Policy Framework" (Cloete *et al* 2006: 158), which he deducted from William Dunn's work, was helpful in developing the PDT. However, the PDT is an extended and integrated checklist developed by the researcher. The PDT will indeed be utilised to measure DPW's policy programme. The authors whose work assisted the researcher to constitute the PDT are listed below. Detailed references can be found in the foregoing text.

**TABLE 1: THE POLICY DOCUMENTATION TEMPLATE (PDT)**

INDICATOR ELEMENT IN POLICY DOCUMENT	Authors	Yes	No
<b>1. Introduction/ background/ rationale</b>	De Coning; Hanekom; Burger		
Reference to?			
Proper description?			
Are policy options explored?			
<i>Comment</i>			

<b>2. Policy development &amp; consultation process</b>	Hart & Vromen; Taylor & Balloch; Vedung; Moore; Hanekom; De Coning; Scheirer; Burger; Simon; Shafritz and Borick		
Reference to?			
Proper description?			
Who are the relevant policy makers within the Department?			
<i>Comment</i>			
<b>3. Institutional &amp; organisational arrangements</b>	Wholey Hatry & Newcomer; Dunn; Hanekom; Cloete; Vedung; Simon; Shafritz and Borick		
Reference to?			
Proper description?			
Key stakeholders and institutions mentioned?			
Key role players and responsibilities mentioned?			
Organisational structure & functions described?			
Structural/Functional: is the Department structured in accordance with the key objectives to be achieved?			
<i>Comment</i>			

<b>4. Overall policy objectives of Department</b>	Taylor & Balloch; Ellul; Dunn; Vedung; Cloete; Moore; Simon; Shafritz and Borick		
Are the policy objectives clear and measurable?			
Are the envisaged outputs clearly outlined, per year?			
<i>Comment</i>			
<b>5. Action plan for the specific policy programme, e.g. land provision for new state health facilities in Western Cape Province</b>	Dunn; Vedung; De Coning; Wholey; Muller; Hanekom; Dunn		
Is an Action Plan available?			
Are the priorities <i>per annum</i> stated? (E.g. erven to be transferred per year; indication of year in which construction of health facilities will start)			
Is it clear which official (manager) is accountable for the overall performance of the specific policy programme?			
Is it clearly stated who the project managers responsible for individual projects are?			
Is provision made for monitoring of progress with individual projects?			
<i>Comment</i>			

<b>6. Resource availability</b>	Sachs; Patton & Sawicki; Cloete; Dunn; Kraft and Furlong		
<ul style="list-style-type: none"> <li>Financial resources availability <ul style="list-style-type: none"> <li><i>Operational expenses?</i></li> <li><i>Staff appointments?</i></li> <li><i>Capital to purchase land?</i></li> </ul> </li> <li>Capital to construct new health facilities?</li> </ul>			
<b>Comment</b>			
<ul style="list-style-type: none"> <li>Human resources availability <ul style="list-style-type: none"> <li><i>Manager (accountable officer)?</i></li> <li><i>Project managers?</i></li> </ul> </li> <li>Administrative staff?</li> </ul>			
<b>Comment</b>			

<b>7. Monitoring &amp; Evaluation System</b>	DeLeon & Vogenbeck; Burger; Hanekom; Patton & Sawicki; Vedung; De Coning; Cloete; Wholey Hatry & Newcomer; Taylor; Hart & Vromen; Moore; Scheirer; Kraft and Furlong; Shafritz and Borick; Simon		
Are the goals of the specific policy programme (e.g. provision of land for building of new state health facilities) clearly stated in an Action Plan, deliverable <i>per annum</i> ?			
How is progress towards the goals monitored?			
Will priority goals be achieved within timeframes or not?			
How are the results/findings of monitoring fed back into the policy planning system and how are adjustments of the policy (and implementation methods) made? In other words, how is policy review and policy change executed?			
How is the information gained via monitoring and evaluation processes presented to the Provincial Minister and his/her Executive Management?			
<b>Comment</b>			

**Notes for interpretation of the results of the PDT:**

- a) Measurement of (a set of) public policy documentation against the PDT should produce YES answers in all the indicator element areas.

- b) Where NO answers are given, this is an indication of vulnerability within the policy, which will impede effectiveness. Where NO answers are given, corrective adjustment and changes to the documentation should be introduced.
- c) The nature of changes to policy documentation will be determined by the value attached by politicians and other policy-makers to specific policy indicator elements, and by the context of the specific policy programme.
- d) The PDT will identify generic shortcomings in public policy documentation, as such shortcomings restrict effective policy implementation.

## **2.5 CONCLUSION**

The PDT of this chapter was developed by the researcher based on international theory and conceptual work related to public policy evaluation. The researcher developed this checklist (control list as monitoring and evaluation instrument) by means of scientific and academic analysis and logical categorisation of concepts, and by then casting the distilled new understanding and meaning into the useful mould of the PDT.

Generally, a public policy is only good when it is sensible on paper – that is, contains all necessary elements, such as objectives, resources, time frames – and also practically viable. A good policy should have a built-in mechanism to measure progress with its implementation; a policy programme can only be successful when it is possible to measure whether objectives are achieved.

In Chapter 4 the policies (the documentation) of DPW that relate specifically to the department's provision of land for construction of new state health facilities in the Western Cape Province, will be described, analysed and evaluated. In Chapter 5 the focus will be on DPW's implementation of its land provision policy programme. But first, in Chapter 3 our attention will be on a conceptual–theoretical analysis of public policy implementation.

## **CHAPTER 3**

### **CONCEPTUAL AND THEORETICAL PERSPECTIVES ON THE IMPLEMENTATION OF PUBLIC POLICY PROGRAMMES**

#### **3.1 INTRODUCTION**

Broad policy programmes are usually turned into practical outcomes (deliverables) in society through project management methods or other implementation activities. Policy implementation gives practical effect to the policy documentation of a department or organisation. Obviously, the words on paper (the policy documents) are not worth much if they do not find practical application in society.

Ridde (2009: 939) identifies some critical distinctions: “According to Kingdon (1995), public policies have four phases: agenda-setting, determining possible choices, authoritarian selection of a choice, and implementation of decisions. In Lemieux’s view (2002), there are three recurring sub-processes: agenda-setting, formulation and implementation, with evaluation being more of a meta-process.”

In our own view, even though phases in policy development exist, too little emphasis is placed by Kingdon on implementation as the very purpose of all other policy phases. If Lemieux’s evaluation is a “meta-process”, the question arises whether that can be understood to mean that policy monitoring and evaluation will always remain centrally on the radar screen during policy implementation, in all subsystems and policy phases.

#### **3.2 THEORETICAL PERSPECTIVES ON THE IMPLEMENTATION OF PUBLIC POLICY PROGRAMMES**

##### **3.2.1 Critical points of departure for effective policy implementation**

Cloete is of the opinion that governments have to “improve their current, traditional policy implementation capacities and mechanisms to the extent that they will be able to meet the needs, expectations, and demands in their respective societies to stave off political instability and loss of power” (2003: 288).

It is true that lack of service delivery or slow service delivery by a government can lead to unrest in society. Such conditions are exploited by political opponents within a political party, or in opposition parties, to cultivate revolt in communities, and to leverage additional pressure that can bring about change in political control. It can be added that undemocratic governments sometimes

do not lose power even though they do not meet the needs of their people...staying in power through coercion.

Lippincott and Stoker confirmed the political complexity related to policy implementation when they pointed out, in a case study, that “deciding upon the composition of the institution to promote implementation (selecting the members of the delay reduction committee) was a political act, which determined whose interests were represented” (Rist, 1995: 336). In this study, the municipal public defender had “little power to protect his interests”, leading to a situation where a legitimate interest was omitted from the implementation process.

In politics one of the most important strategies followed is to ensure that political friends and colleagues are deployed onto various structures of governance. In this manner the tentacles of political control are spread into all spheres of society. These so-called ‘cronies’ must ensure that policy decisions are influenced to suit their own political clique, and that implementation is controlled in a manner that will benefit their own interests, e.g. influencing of the processes of allocation of government tenders.

The above-mentioned authors thus correctly highlighted the fact that politics directly influence not only policies, but also their implementation. Practical service delivery to communities is constantly influenced by politicians.

Grindle states that the task of implementation is to establish a link that will realise the objectives of public policies as concrete outcomes of governmental activity. Specific instruments are designed and utilised to arrive at particular targets. “Public policies...are translated into action programs that achieve the ends stated in the policy” (1980: 6, 7). Policy implementation is a process of administrative action, and its success or failure can be evaluated. Programme outcomes can be measured against policy objectives. Policy implementation cannot take place unless action plans have been designed and the necessary resources have been allocated to the policy programme.

Here the importance of an action plan as part of policy programme documentation is highlighted. Indeed, the lack of proper action plans can be a large contributing factor to policy failure. Policy documents are sometimes broad, philosophical, strategic and/or vague, while implementation of strategies are not always captured and pinned down in concrete terms. When the broader objectives of a policy programme are not stated in an action plan in the form of clear goals to be achieved by specific persons within a certain time period, it is unlikely that such objectives will be achieved successfully. It is accepted practice that the achievement of clear goals within clear time frames is fundamentally important to successful management of programmes and projects. In addition, the



accountable person must be identified – the person who is responsible to manage the programme or project to successful completion – and this manager must receive the full legal mandate to proceed with the work.

When no action plan exists it also is impossible to monitor whether execution of a policy is progressing as planned. The entire monitoring system is compromised, as a consequence.

Grindle also argues that “matters of ideology, culture, political alliances and payoffs ... may have considerable impact on the administrative process” (1980: 14).

It must be noted that political alliances can directly influence the administrative process, and delivery of services can be slowed down considerably where, for instance, senior and other managers are not loyal to the political party that controls the administration at a certain point in time. The following serves as a concrete example of the influence politics could have on policy implementation: ideological differences may occur among politicians regarding the most appropriate way to utilise valuable state assets, such as vacant government land, strategically. In such an instance, delays in achieving clarity on a common strategic approach will lead to delays in the finalisation of policies, which in turn will delay the delivery of goods and services in society.

### **3.2.2 Public administration: *Raison d’etre* remains human dignity**

The researcher can only in the strongest possible terms agree with Auer (see below) where he essentially expresses the view that *human dignity* for all citizens is supposed to be the very *raison d’etre* of all politics and public administration. It is known that such nobility is sometimes difficult to find in practice. But, all public managers and administrators who are busy with effective policy implementation are building human dignity in the world every day, and must absolutely be applauded.

Farmer is of the opinion that public administration is “slow in its receptivity to fresh and challenging intellectual perspectives”, “postmodernism came late to public administration”, and that “this anti-intellectualism requires critical self-analysis” by public administration and by university departments (Rabin, Hildreth, and Miller, 2007: 1217). He suggests that a shift is needed towards “post-traditional consciousness”, where the gap between macro public administration questions (e.g. the relationship between intelligence and law enforcement) and micro problems (e.g. the needs of the middle-level practitioner) is narrowed down. Farmer proposes a “radically imaginative” movement in public administration (Rabin *et al*, 2007: 1217).

The sentiment of Farmer that many public managers tend to be very rigid, and that they do not easily open up to new ideas about improvement of implementation methodologies, is widely recognised. The fundamental reason, among other reasons, for this resolute resistance to be moved in any direction can probably be ascribed to the fact that senior public managers are usually powerful individuals within their organisations and very politician-like, embedded in politics. As a result, any change of policies/methods often can only be achieved through force/pressure; they do not easily accept new methods of their own volition.

Auer states that “the door for new ideas and helpful innovations remains open...because the policy sciences’ key testing ground is the world of real problems and not the world of perfect ideas...” (Rabin *et al*, 2007: 559). He says that policy scientists can integrate any idea or tool that advances the movement’s central aim, which is promoting human dignity. He emphasises the importance of convincing at least some people in the old order to embrace new approaches.

A key objective to be achieved by governments, namely human dignity in society, often is sabotaged as a result of personal political ambitions in the public sector, and because successes with policy implementation are not shared among civil servant colleagues. Public servants must constantly be reminded by their managers of how their work leads to improvements in real-life conditions in communities. This is an example of a ‘new approach’, as referred to by Auer.

Bromley suggests that “we must begin to assess policy impacts in terms that are relevant to those affected...we must begin to expend more effort to ascertain exactly how individuals regard the benefits and costs of certain policy alternatives...in contrast to the current approach which regards pertinent benefits and costs to be those that we – as economists – happen to be proficient at measuring” (1990: 99).

The notion that affected communities’ experiences, needs, demands and expectations must be placed in the forefront during policy implementation is crucial. It is unfortunate that the public manager and civil servant usually – and this is only human – get so caught up in personal needs and problems, as well as organisational and other politics, that the execution of policies and delivery of public goods and services are often seriously delayed and affected.

### **3.2.3 General principles of effective policy implementation**

Policy implementation is a most critical element in governance. It is known that many good strategies and policies often exist, but that implementation in the public service either fails or is very slow. Hence, the essence of this entire study is to determine not only whether an appropriate

policy to deliver land for new state health facilities is in place, but also whether the policy is viable, and whether it is being implemented effectively and efficiently, to the benefit of citizens in need of critically important government services.

It is true that, generally, administrative capability is reflected not only in the presence of appropriate skills and managerial competencies, but also relates to resources such as finances, information, and clear leadership.

DeLeon and Vogenbeck report that “implementation turned out to be much more complex and difficult than the implementation analysis proponents had suggested” (Rabin *et al*, 2007: 518). They however emphasise that policy implementation should not be elevated in importance above or to the (relative) exclusion of the other phases in the policy process.

In the researcher’s view, implementation must indeed, to some extent, be elevated in importance, since without implementation all the other phases in the policy process and the policy as such are totally wasteful and useless. Ineffective implementation in turn detracts from the rights of citizens, and is disrespectful towards tax payers.

Implementation can indeed be complex – as stated by De Leon and Vogenbeck – and officials simply cannot achieve the objectives of a policy programme unless they understand the programme, its purpose and its goals. Believing in such a programme is an additional dimension that will motivate administrators towards successful implementation.

Bardach captures the essence of the ‘implementation problem’ as follows: “A single governmental strategy may involve the complex and interrelated activities of several levels of governmental bureaus and agencies, private organisations, professional associations, interest groups, and clientele populations. How can this profusion of activities be controlled and directed? This question is at the heart of what has come to be known as ... the ‘implementation problem.’” (Vedung, 1997: 226)

Cooperation between different government departments/entities does indeed present serious challenges during policy implementation. When managers and officials of different government departments have to cooperate, such interaction often takes place in an atmosphere of political tension. Turf battles are common; each department usually wanting maximum control and influence. Managers in one department do not want to be over-ruled or instructed by managers of other departments.

The sheer size of government departments is sometimes provided as an excuse for ineffective cooperation and implementation, but this excuse does not hold water; many very large private

sector companies function with speed, although they are big. Political power struggles in the public sector probably play a larger role in delayed implementation by government entities than the size of government departments. However, the complexity of some issues that government departments sometimes have to deal with must not be forgotten or denied. Decisions and execution to resolve these complexities cannot always take place over night. Management of government assets such as vacant land and buildings can be classified as a complex governmental function.

Wamsley, in his paper ‘Policy subsystems as a unit of analysis in implementation studies: a struggle for theoretical synthesis’, focuses on policy subsystems and is of the view that conceptual consensus in this area will assist with understanding the ‘black box’ of the political system. Wamsley utilises a political economy approach to analyse policy subsystems, and argues that the governance process can be better understood through this approach. Via this approach Wamsley believes that one can obtain a better picture of “the way things really happen” by studying the “whirlpools of social interests” and problems (policy subsystems). (Hanf and Toonen, 1985: 92, 93)

It is correct that policy subsystems must be understood in order to understand challenges with implementation. It is also true that evaluators should not become so paralysed in all the complexities related to public policy that they forget to check the basics, such as: is there an action plan, with clear targets, as part of the policy? And, is this plan being executed?

Brynard (2010: 200) makes these important remarks: “Policy and policy implementation require groups of implementers and therefore implies cognitive consensus in the policy process important. The degree of conflict and/or consensus between actors determines the extent of success of the policy. It is clear that cognitive and normative frames and the subsequent interpretation of policy implementation are mainly determined by a social context.”

There is no doubt that common understanding of policies by actors and partners and the avoidance of conflict will influence outcomes of implementation efforts. Whether the interpretation of policy implementation is “mainly” determined by a social context is probably debateable.

#### **3.2.4 Planning for effective policy implementation**

Schwella confirms that proper planning for a human resources system “starts with a proper understanding of the policies, goals, objectives and plans of the organisation” (1996: 59). Furthermore, transformational leadership is required, which envisions and inspires goal achievement. He is of the view that control and evaluation should not be regarded as negative and boundary-setting exercises, but rather as “proactive action towards reaching goals and objectives” (Schwella *et al*, 1996: 59).

It is indeed correct that a lack of understanding of a policy and its importance to address needs in society will result in ineffective staff establishment, resulting in incapacity to execute the policy effectively. Leadership that uses the achievement of goals as encouragement for team members will produce better implementation results. Too often civil servants do not see how their work can benefit individuals in the community directly, and public officials do not enjoy the satisfaction of knowing every hour and every day they work means something to society, especially to those that are more vulnerable. In the civil service the utilisation of written and other media to share implementation successes and inspire staff members is an area which calls for serious improvement.

A positive approach to monitoring and evaluation activities within public organisations indeed should be encouraged, since these activities can be utilised eventually to market and reward the work of individuals and teams within a government department.

Simon (2007: 161) categorises policy implementation on basis of the following: the “specificity” of the policy being implemented, and the measure of political oversight that is being applied during implementation. Simon also encourages “demonstrable solutions to (policy) problems”, indicating his promotion of a paradigm where public managers are more open to policy improvement and change.

Indeed, planning a policy programme in full detail, where sufficient attention is given to allocation of specific resources, and the necessity of formalised partnerships and cooperation where appropriate, is as important as distinctly establishing who the (political) driver of the policy’s implementation is.

### **3.2.5 Programme and project management for effective policy implementation**

Van Baalen and De Coning shed light on specifically the importance of programme and project management in policy implementation. The authors state that policy implementation follows policy development, and can be regarded as one of the three important legs in public policy management, with policy evaluation being the third leg. They explain the “macro-level link between policy implementation and projects as an instrument to that effect.” (Cloete, Wissink and De Coning, 2006: 242, 243). They also provide a useful template called “Generic logframe matrix for policy implementation”, which is a chart that can be used during project management.

The emphasis to promote and enhance project management within the public sector is very critical to increase effective implementation. Many much-needed facilities and programmes simply do not get off the ground or take twice as long as it should to complete, as a result of the fact that officials

are waiting for one another to do things, and take their time with this. This happens because there usually is no single person that will stand accountable when milestones are not achieved within certain time frames. The essence of project management remains about mandates, concrete goals, appropriate resources (including skills to manage projects), strict time frames, and real-time monitoring. Real-time monitoring means that all involved with the project are constantly aware of progress – in this age electronic tools can be used with great success to enhance monitoring of projects.

Project managers who are properly mandated to execute a project and can operate in a cross-cutting manner across the boundaries between government departments and other organisations, can considerably enhance government's effectiveness in policy implementation. Improved project management is a vast challenge in public administration in South Africa, but the researcher needs to stress that project management in government context simply cannot be successful without these mandates and *cross-cutting approaches*. In addition, single point accountability (with recognition to Cloete, 2006) will certainly enhance effective policy implementation – when projects fail it must be possible to point a finger at a specific individual, the project manager. The next step must be to penalise and sanction such an individual for lack of performance, since in government service lack of performance borders on criminality: the very lives of citizens are at stake.

### **3.2.6 Resources for effective policy implementation**

In the book *Public Resource Management* (Scwella *et al*, 1996: xii-xvi) the fundamental resources available to public managers, which are critical for effective implementation, are broadly indicated as the following:

- Human resources.
- Financial resources.
- Information.
- Natural resources.

These resources are scarce, and must be managed in the most efficient way possible in a constantly changing environment, which complicates matters. Naturally, policy implementation cannot take place without these resources. Appropriately skilled staff (complemented by project managers where necessary), budgets, office space and vehicles are just some of the basics that are needed to execute policies. Without information as resource there can be no proper planning, and no monitoring.

Resources such as credibility, innovative/valuable ideas, and the ability to negotiate/persuade should be given more attention by public managers and political representatives. Experts, such as management consultants, must sometimes simply be bought in by the government to add capacity towards effective implementation.

Lundin in a recent study makes the point that inter-organisational cooperation is an important factor to consider in policy implementation. His view stems from the fact that “contacts between various public authorities are inescapable in contemporary democratic states” (2007: 647). The necessity and impact of cooperation will usually increase with increased “task complexity” (2007: 647).

When there are clear connections between authorities, and they share an overall goal, one will find positive effects of cooperation during implementation of both complex and less complex policies within a policy area.

Madue (2008: 204) highlights very important resource-related conditions for successful policy implementation when he suggests a strategy that encompasses “...increased human resource capacity and...co-ordinated policy implementation. With regard to the internal environment...public managers and implementing agencies should jointly work towards the realisation of the policy outcomes.” Madue’s focus on co-ordination and partnerships deserves urgent attention in South Africa – we would like to add that these partnerships and working together should be contractually formalised and enforceable as far as possible.

Lundin states that the idea of solving public problems by means of “partnerships of actors” is popular both in “real life politics and among academic scholars”. The model indicating that local actors should collaborate to improve execution of public policy has had a “marked breakthrough” in the past few years. But for the sake of clarity, it is “important to develop and test theories about exactly *when* inter-organisational cooperation improves implementation”. This is better than stipulating that cooperation is a “good thing” in general, Lundin argues. (2007: 647) The main conclusion of Lundin’s study is that inter-organisational cooperation is a reasonable strategy to improve policy implementation.

The importance of cooperation and partnerships between departments and entities that have a role to play in executing specific policies almost goes without saying. The more important question is to determine why such cooperation often is so problematic. The answer to this question will differ from context to context and project to project. One of the critical negative factors is usually the lack of a clear mandate as to who (a person) legally controls/manages the project – politics and turf battles delay service delivery.

Indeed, the lack of joint acceptance by the different actors of overall goals will also take away much energy from any implementation drive. For instance, if a Department of Public Works must facilitate and release vacant land for new state hospitals, but this department is seen only as its 'agent' by the client Department of Health, and the two departments cannot sit down together and in a positive manner share information about their delivery goals per year in terms of land and facilities, the synergy to achieve such goals will be almost non-existent.

### **3.2.7 Budgeting for effective policy implementation**

Fox in Chapter 7 of *Public Resource Management* provides the long-lasting definition of budgeting created by Lynch, indicating that "a budget is a plan for achieving programmes related to goals and objectives within a definite time, incorporating estimates of resources required, together with estimates of resources available, usually compared with one or more past periods and showing future requirements". (Schwella *et al*, 1996: 126, 127)

Lynch (1979: 4) calls the budget the main vehicle for developing government plans and policies. He thinks that separate planning processes are of secondary importance – it is the budget that attaches specific amounts to government activities and priorities. The budget reflects government's business more accurately than most other planning documents.

It is agreed that budgets are critical in policy implementation – without financial resources execution of any policy will be impossible. Budgets are also linked to time frames, and financial years and financial periods (e.g. three year expenditure cycles), which helps to push forward the practical delivery of services and facilities to society. However, it often happens that amounts that are not spent in a specific year are simply 'rolled over' to the next year, without any sanction applied for not spending the money within a specified period. It also happens that budgets are changed during policy implementation, resulting in uncertainties in regard to delivery goals.

In cases where the budgets of two government departments must be aligned with a view to service delivery, policy programme management and implementation can become very complex. A good example would be where one department must purchase vacant land for new state facilities, but the budget for construction is located within another department. Close communication and constant alignment between the two partners is vital in such a situation. Furthermore, amounts that are needed for purchases of immovable assets such as vacant land sometimes are difficult to determine, as a result of the scarcity of land.



Lynch thus is correct in stating that the budget is a primary policy document, although the budget obviously cannot stand alone. The annual action plan with concrete expected outcomes is in my view equally important in terms of policy documentation for effective implementation.

Schwella expresses the implementation-related sobering thought that “budgets control everything an institution does. Budgets are ubiquitous, oppressive, unyielding and degrading. They take enormous amounts of time away from productive work” (Schwella *et al*, 1996: 334). He quotes Osborne and Gaebler who stated in 1992 that budgets “trap managers in yesterday’s priorities, which quickly become tomorrow’s waste.”

Unfortunately, it does happen in public administrations that public managers are trapped in yesterday’s priorities. Due to the size of the civil services and the tedious consultation processes and general slowness with implementing decisions, it can occur that it takes a few years before important ideas become decisions and eventually are executed; during these long periods new priorities may arise. Managers must indeed be alert and careful of this trap.

Conradie (1999: 293) emphasises the influence of sound management on the financial health of organisations, and refer to Gulick’s seven basic tasks of any organisation: planning, organising, staffing, directing, coordinating, reporting and budgeting. Conradie indicates that skills and functions required for successful performance of these tasks are leadership, control, organisation development, accountability and systems development, as well as monitoring and evaluation.

Budgeting is a basic task within government departments, but is influenced by other tasks. If policy planning is not effective, goals will not be clear, and reporting/monitoring will be problematic, resulting in unrealistic future budgets. Control by managers will then be nonsensical. Monitoring and evaluation of public policy implementation must thus be performed parallel to and in coherence with the other management tasks and functions.

### **3.2.8 Conversion processes and policy change**

Public managers must be able to use the structures and procedures of government to transform (convert) resources into appropriate and effective outputs. Logically follows that when the policies – that are used as instruments to convert resources into outputs to improve the lives of citizens – do not produce the intended results, such policies have to be changed and adapted.

McLaughlin and Jordan indicate that public managers are increasingly expected to describe and evaluate their policy programmes in new ways. Managers must present a logical argument for how and why the programme is addressing specific needs, and how measurement and evaluation will

assess and improve programme effectiveness. Managers need clear and consistent methods to help them with this task. “There are logical linkages among programme resources, activities, outputs, customers reached, and short, intermediate and longer term outcomes. Once this model of expected performance is produced, critical measurement areas can be identified.” (1999: 65, 72)

These views illustrate that policy evaluations must improve effectiveness of policies, and that the objectives and targets within policy programme documentation must be clear, to enable monitoring and assessment. Where there is no action plan or similar document that identifies the expected implementation outcomes within a certain period, it is also impossible to determine critical measurement areas to be used in policy monitoring, a situation that renders effective monitoring and evaluation impossible and/or meaningless.

### **3.2.9 Process monitoring and evaluation in policy implementation**

Kraft and Furlong (2007: 173) stated that implementation analysis will usually document how well implementation is progressing, and identify the “aspects of the policy or the parts of the implementing agency that are responsible for any success or failure.”

Indeed it sometimes is the case that just a certain division or section of an organisation is not performing well, due to for instance problematic leadership and/or management arrangements. It is unlikely that knowledgeable people will struggle on and on to implement a policy that is flawed or simply principally not viable; hence it can be said that the organisational (people) problem usually gives rise to the policy problems. And these people are sometimes in need of additional expertise to correct the policy problem.

Scheirer (Wholey *et al*, 1994: 55) mentions the following useful methods for data collection when measuring implementation processes:

- Organisational records e.g. data bases.
- Written questionnaires with pre-structured or open-ended questions.
- Interviews.
- Case studies – informal observations and interviews, combined with available data and document review.

In their conclusions regarding policy implementation De Coning and Brynard emphasise that policy formulation and policy implementation are not necessarily consecutive processes, “but are in many cases parallel processes where policy design or redesign and revision can take place even during the formal implementation stages of the policy project”. (Cloete *et al*, 2006: 209)

This is a good point, and surely often is the case in the practice of policy development. One can add that policy monitoring and evaluation obviously play a large part in adjustment or re-design of policies, and in finding more effective methods of implementation.

Cloete argues that technological service delivery applications will enable governments to meet their service delivery targets, but “this requires a shift in public policy and spending priorities” (2003: 289) to use technology as an important policy instrument. Cloete is of the view that developing nations cannot provide sustainable good governance without electronic policy innovations.

Electronic tools can indeed be used fruitfully in policy implementation and monitoring processes, and can, for instance, ensure the real-time monitoring of progress with projects. One of the best examples of the effective use of electronic instruments in public administration is that of the ‘management cockpit’ of the Belgian Employment Bureau in Brussels. Here a room with computer screens on the walls is used as a boardroom, where managers see a display of charts and graphics that indicate the exact status of their programmes and projects right at that moment, allowing for real-time management. Policy changes can be introduced much faster if required, as opposed to the other more traditional management and monitoring methods.

(Source: Belgium National Employment Office Management Cockpit, [www.rva.be/D\\_RVA/Gestion/Beheersinstrumenten/Cockpit/ContentNL.htm](http://www.rva.be/D_RVA/Gestion/Beheersinstrumenten/Cockpit/ContentNL.htm))

### 3.3 LESSONS FROM THE THEORETICAL ANALYSIS IN THIS CHAPTER

In this chapter theoretical perspectives on public policy implementation have been described and analysed. We can distill the following lessons about policy implementation from the theory. These lessons will be applied in Chapter 5 of the study. The authors whose work assisted the researcher to constitute the lessons, are listed in brackets. Detailed references can be found in the foregoing text.

- a) An effective policy will contain an **annual action plan** with **targets**, which will be linked to an **approved budget**. Annual **priorities** must be reflected in the annual action plan. Implementation is only successful if the stated concrete goals and targets are reached within certain **time frames**. This action plan must be an **enforceable document**, with the targets cast in stone. It cannot be allowed that changes are made halfway through the year, when officials have spent much time and money in pursuance of the stated targets. (Grindle; Fox; Lynch; Schwella; Kraft and Furlong)
- b) **Accountability and time frames** must be clearly stipulated in the annual action plan. The **accountable** manager/official must be pin-pointed in the action plan. This person must have a **legal mandate** to execute the project. When more than one department must provide inputs and work to realise a project goal, it must still be clear who the project manager is (single point project

management; cross-cutting across departments and government entities). **Monitoring** of execution of the action plan must be performed systematically, and must provide new valuable **management information**, which should be available in real-time. Electronic monitoring is advisable. The impact of policy programmes must be **evaluated**. (McLaughlin and Jordan; Scheirer; Bromley; Belgian National Employment Office; Cloete; Schwella; Conradie; Ridde)

- c) The **administrative process** must be logical and clear. Effective **cross-cutting project management** approaches must be applied where appropriate. (Simon; Grindle; Conradie; De Coning)
- d) Where two departments must cooperate, the annual targets must preferably be agreed to in a **service agreement** (part of annual action plan). (Bardach; Lundin; Madue; Brynard)
- e) Financial, human and information **resources** must be allocated and sufficient. (Schwella; Grindle; Cloete; Madue)
- f) Progress and successes with projects must be **recognised and communicated** internally and externally, as appropriate. (Conradie)
- g) Clear **processes** must exist to efficiently and speedily introduce **changes** in policy documentation and/or implementation activities, if required. (Farmer; Auer; De Coning and Brynard)
- h) Although **management** of government programmes and projects (and policy subsystems) can be very complex – with many variables and factors to be borne in mind – this **complexity** may not be used by a managers as an excuse for non-delivery on targets. (Wamsley; DeLeon & Vogenbeck; Lippincott and Stoker; Cloete; Conradie)

The above-mentioned lessons will be applied by the researcher in Chapter 5 - in conjunction with the Policy Implementation Monitor (PIM), presented here below - when assessing the implementation of the DPW land delivery programme.

### 3.4 THE POLICY IMPLEMENTATION MONITOR (PIM)

The Policy Implementation Monitor (PIM) as indicated below has been developed by the researcher by extracting the most fundamental principles and elements ascribed to effective policy implementation from the theory and conceptual discussions presented in this chapter. The lessons learnt, as indicated under point 4 above, will serve as a more detailed and broader framework.

**TABLE 2: THE POLICY IMPLEMENTATION MONITOR (PIM)**

<i><b>Project name</b></i>	<i><b>Project goals</b></i>	<i><b>Official mandate to execute project (+ date)</b></i>	<i><b>Budget approvals in place</b></i>	<i><b>Project manager (with mandate to execute)</b></i>	<i><b>Current status</b></i>	<i><b>Quarterly/ monthly milestones</b></i>

As indicated above, the PIM will in Chapter 5 be utilised to measure DPW's policy implementation, related to the provision of land for construction of new state health facilities in the Western Cape Province.

### **3.5 CONCLUSION**

The Policy Implementation Monitor (PIM) does not constitute a detailed framework, but a practical logframe-based monitoring instrument to measure the essential core elements without which effective policy programme implementation is totally impossible. The lessons learnt – point 4 of this chapter - constitute the background to the PIM.

In Chapter 4 the policies (the documentation) of DPW, that relate specifically to the provision of land towards building of new state health facilities in the Western Cape Province, will be described and analysed. The DPW policy documentation will then be measured against the PDT, to enable a scientific finding as to how DPW policy documents compare to best public policy practice internationally. In Chapter 5 the focus will shift to implementation of the land provision policy programme by DPW.

When the PDT and PIM are utilised jointly as checklists (control lists) to measure the effectiveness of public policy documents and the implementation of such policy programmes, excellent results can be expected. These two checklists constitute useful policy evaluation tools. Measuring the policy programme of a government department against these checklists will result in useful lessons on how such a programme – both the policy documents and their implementation – can be improved. The onus however remains with the decision-makers in a government department as to

whether, in the first place, they will apply the checklists to one of their policy programmes, and secondly, whether they will then apply the lessons learnt, and thus improve their policies and implementation. Of course, when evaluating policies, it must be remembered by policy makers that the interests and well-being of the community and society at large is at stake – the very lives of citizens. Therefore, any policy change that is required must be implemented with maximum speed to benefit especially vulnerable citizens.

## **CHAPTER 4**

### **EVALUATION OF POLICY DOCUMENTATION OF DEPARTMENT OF TRANSPORT & PUBLIC WORKS LAND PROVISION PROGRAMME**

#### **4.1 INTRODUCTION**

An evaluation of the policy documentation of DPW will focus on policy specifically related to the Department's land provision to the Provincial Department of Health (DOH) for construction of new state health facilities in the Western Cape Province. The broader policy framework within which the land provision policy subsystem functions, will be referred to first.

This chapter starts with a brief overview of the legislative context within which the provincial government must deal with immovable capital assets (land and buildings). Subsequently the structure of DPW will be referred to, after which a description of the existing DPW policy programme to provide land for new state health facilities will follow. An analysis of the policy documentation (set of five policy documents) – the complete policy framework guiding land provision - will be done in context of the theoretical framework (the Policy Documentation Template – PDT) to measure effective public policy, as developed in chapter 2. The five policy documents have been received by the researcher from DPW after his requests for the comprehensive and complete set of policies guiding land provision.

State assets are valuable and sought after, and approaches to government asset management differ. Conflicting political ideologies are at play in the public policy arena, with proponents trying to sway thinking and policies in a direction that will best serve the interest of their political base and/or interest group. An example of a specific ideological approach to asset management would be that immovable assets must be managed in a manner that will always ensure that the nett value of the assets under control of the government does not decrease. Another approach may focus on creating jobs through release of some assets, and ensuring higher on-going revenue streams to the government.

The spheres affected by how state assets are managed and dealt with are important, diverse and broad-ranging, touching on economics, politics, job creation and job loss prevention, the national fiscus, public infrastructure investment, construction, engineering, architecture, health, education, security, and so forth. It is fundamentally important that policies must be geared towards achievement of the stated priority objectives of a government department. Many societal needs and administrative activities must be considered in governance and public administration, but policies

must ensure that the basic critical macro priorities are attended to and indeed achieved, within a specific time frame. (NOTE: All text directly quoted from the policy documents of DPW is placed in *italics* in this chapter.)

## 4.2 LEGISLATIVE CONTEXT

The South African Government's management of immovable assets – and related transactions such as acquisition of vacant land by DPW towards addressing the DOH health facility needs – take place within a fixed regulatory framework.

The Strategic Plan (2010 – 2014) policy document of DPW effectively and meticulously describes the legislative context and framework within which this department is operating, starting with the Constitution. Below are only the relevant extracts from the document (Department of Transport & Public Works, Strategic Plan 2010: 2-7). Policy development must necessarily take place within the parameters of legislation.

### **Legislative and other mandates:**

*The Department's mandate is derived from the Constitution of the Republic of South Africa, 1996 (Act 108 of 1996), (hereafter referred to as the Constitution) and the Constitution of the Western Cape, 1997. Certain mandates are concurrent responsibilities, while others are exclusively the responsibility of the provincial sphere of government. These mandates, as well as those derived from functional legislation and policies are outlined in this section.*

### ***Constitutional mandates***

*The Department is concurrently responsible for:*

*Public transport; Public works only in respect of the needs of provincial government departments in the discharge of their responsibilities to administer functions specifically assigned to them in terms of the Constitution or any other law; and Road traffic regulation, as contemplated in Schedule 4 of the Constitution and read with other legislation. Likewise, it is exclusively responsible for provincial roads and traffic as contemplated in Schedule 5.*

### ***Legislative mandates***

*In the main, the following national and provincial legislation guides the Department in the discharge of its responsibilities. The key responsibilities placed upon the Department by each piece of legislation are outlined below.*



**a) Government Immoveable Asset Management Act (GIAMA) (Act No 19 of 2007)**

*“aims to promote Government’s service delivery objectives through the sound management of immovable assets they use or control. GIAMA gives clear responsibilities of the user and that of the custodian which is Provincial Public Works in the Western Cape.”*

**b) Western Cape Land Administration Act (Act No 6 of 1998)**

*“provides for the acquisition of immovable property and the disposal of land which vests in the Western Cape Provincial Government and for the management of matters incidental thereto. Accordingly, the Department is responsible to continuously update the asset and property register, procure additional properties required and relinquish or redevelop properties that fall into disuse.”*

**c) Public Service Act (PSA) (Proc No 103 of 1994)**

*“is the principal act which governs public administration. It provides the administrative and operational framework for the government departments by providing direct guidelines concerning employment and human resource practices, i.e. conditions of employment, terms of office, discipline, retirement and discharge of members of the public service, and matters connected therewith.”*

**d) Division of Revenue Act (Act No 1 of 2010, and earlier):**

*“provides, inter alia, for the equitable division of revenue anticipated to be raised nationally among the national, provincial and local spheres of government and conditional grants to provinces to achieve government’s policy objectives. It further promotes predictability and certainty in respect of all allocations to provinces and municipalities in order that such governments may plan their budgets over a multi-year period.”*

**e) Public Finance Management Act (PFMA) (Act No 1 of 1999)**

*“the object of this act is to secure transparency, accountability, and sound management of the revenue, expenditure, assets and liabilities of the Department.”*

## **Comment and Analysis**

The legislative context and frameworks within which DPW policies are developed and executed are critical foundations for policy development. These foundations are excellently documented in the Strategic Plan and DPW must be commended for that.

### 4.3 STRUCTURE OF DEPARTMENT OF TRANSPORT & PUBLIC WORKS (DPW)

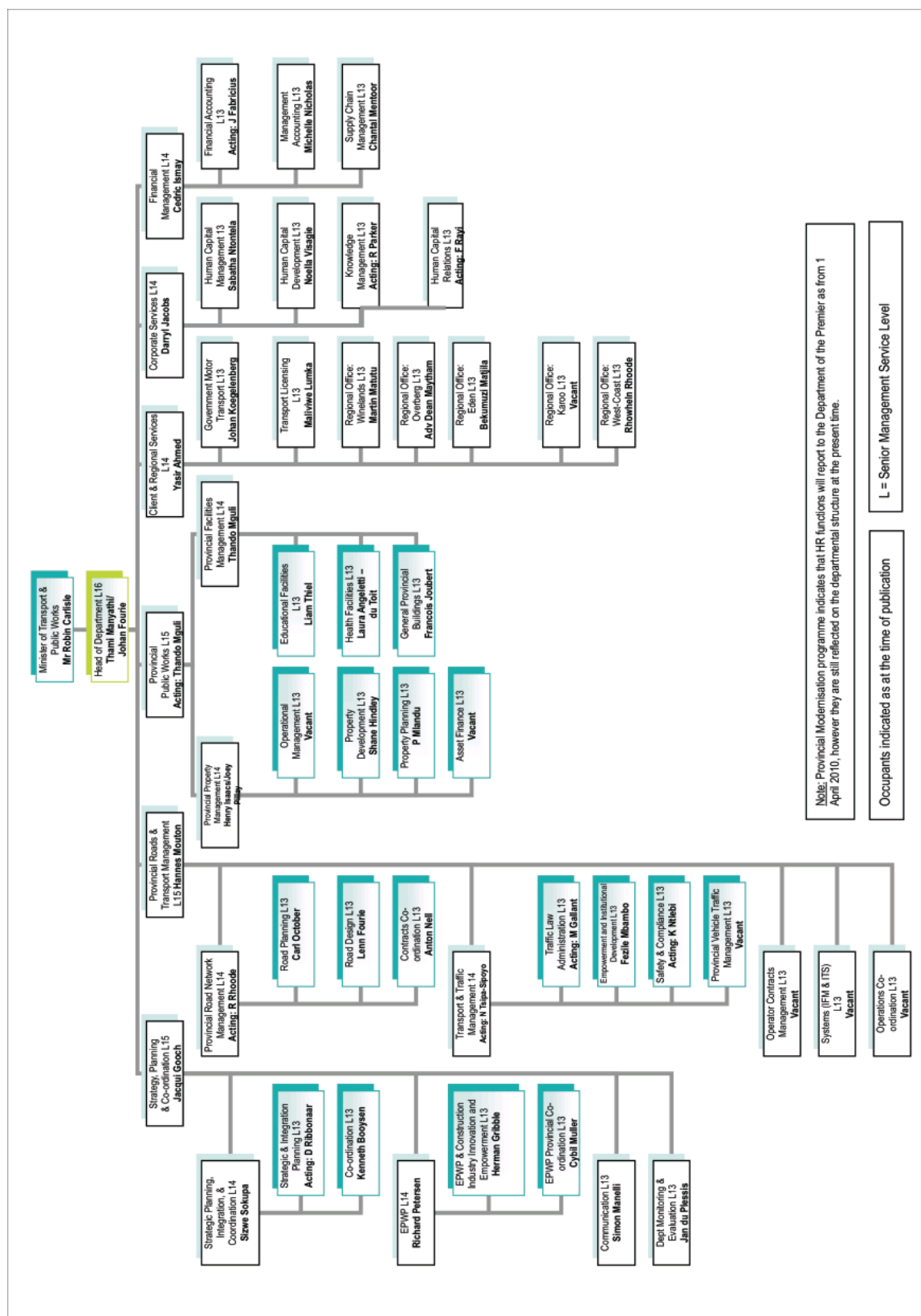
The structure of state departments, as with most organisations, must follow the objectives and targets that must be reached. Determination of the objectives (what do we have to achieve), is followed by answering the question: how are we going to do this (functioning). In accordance with the answer to this question, the structure (sections/divisions) is established, and resources (e.g. management, staff, financial) are allocated. Allocation of resources to certain programmes (functions) must always reflect the need of an organisation to achieve the most important objectives of the organisation – to achieve the priorities on time.

Needless to say – or perhaps critical to repeat and emphasise – is that the objectives of a government department must be guided by the real needs of specific communities and the needs in society as a whole.

The Strategic Plan policy document sets out the structure of DPW in detail. The Department's approved macro-organisational structure to deliver on its constitutional and legislative mandate is shown in Figure 1. An important functionality related to the structure is described as: the Department is *“facilitator of property and infrastructure delivery and management of the provincial property portfolio transversally and inter-governmentally, with a specific focus on the City of Cape Town CBD to leverage benefits from the immovable asset portfolio”* (Department of Transport & Public Works, Strategic Plan 2010: 32, 33)

### Figure 1: Departmental Macro Organisational Structure

(Source: Dept of Transport & Public Works, Strategic Plan 2010: 16)



## Comment and Analysis

The politician, managers and staff responsible for the DPW's delivery of land for the purpose of construction of new health facilities in the Western Cape are:

### Politician

Minister of Transport & Public Works

### Managers

Head of Department

Public Works Exec. Manager

Prop. Management Asst Exec Manager

Property Development Senior Manager

Property Acquisitions Manager

### Post level

Director General

Dep. Director General

Chief Director

Director

Deputy Director

### In Organogramme

Head of Department

Provincial Public Works

Prov. Prop Management

Property Development

### Staff

Property Acquisitions

3 x Property Officials

No clerical staff

The DPW programme to deliver land for construction of new state health facilities in the Western Cape has a total staff component of four individuals (one manager and three professional officials). The Property Acquisition Section is headed by a Manager (Deputy Director level), who reports to a Senior Manager (Director level). The Section has no clerical and administrative staff at present. Further discussion regarding human resources will take place later in this chapter.

## **4.4 DESCRIPTION AND ANALYSIS OF CURRENT DPW POLICY DOCUMENTATION TO PROVIDE LAND FOR NEW STATE HEALTH FACILITIES**

DPW policies to provide land for new state health facilities must be guided by the general importance of good governance, the need for an effective agency to unlock and release land for construction of state facilities, and the specific needs of DPW's client departments (such as DOH). The policies that guide land provision for new state health facilities must enable DPW to respond to DOH priority land/facility needs.

DPW published its new comprehensive policy documentation (Department of Transport & Public Works, Strategic Plan and Annual Performance Plan, 2010) in 2010. The following DPW policy documents that relate to the DPW's provision of land to DOH have been identified:

- Strategic Plan 2010-2014 (SP).
- Annual Performance Plan 2010/2011 (APP).
- The Departmental Budget.
- Procedure Manual for Acquisition of Immovable Assets (First Draft 19/02/2010) – this manual explains specific administrative processes.
- Annual Action Plan document.

#### **4.4.1 The Strategic Plan (2010–2014) – Policy document 1**

The critical sections from the Strategic Plan that serves to guide the Department in its land provision function are demonstrated below, with comment and analysis added by the researcher where appropriate. The purpose of these discussions is to critically assess the value and effectiveness of the relevant DPW policy documentation (assessment of the policy documents).

##### **4.4.1.1 DPW Strategic Plan – an officially accepted policy document**

The Strategic Plan has been officially accepted and signed off as official departmental policy by the accounting officials of DPW, namely the MEC, Mr Carlisle (as executive authority), the Chief Financial Officer, Mr Cedric Ismay, and the Head of Department, Mr Johan Fourie.

##### **4.4.1.2 Foreword to Strategic Plan by Provincial Minister Robin Carlisle**

The SP starts out with a foreword by the Minister, indicating the direction of the Department and setting the tone towards achievement of government priorities. The Minister indicates that the Annual Performance Plan (APP), a complementary policy document, will set targets with regard to the implementation of the broader strategies indicated in the SP. The focus of the APP is, thus, on policy implementation.

**Comment:** Although the Minister clearly states that annual performance plans will set targets, analysis of the Annual Performance Plan of DPW does not reveal which targets for land provision have been set for a particular year.

##### **4.4.1.3 Strategic Overview**

The SP then proceeds to provide a strategic overview and situation analysis of where the DPW finds itself at present (March 2010) – broadly answering the question of “where are we now”.

**Comment:** It is generally accepted that any policy development must be based on an understanding by an organisation of its current situation, and the challenges that lie ahead. DPW does well by sketching the current situation in its policy documentation.

**The Strategic Overview also presents the following important information:**

### ***Vision***

*The Vision of the Department is that applicable to the Provincial Government of the Western Cape, as decided upon by the Western Cape Provincial Cabinet and quoted below.*

*“An open opportunity society for all”*

### ***Mission***

*It is important that the departmental mission statement is aligned to the Provincial Mission, as the Department’s reason for being is to contribute to the Provincial Government’s mission. The Provincial Mission is:*

*“The Western Cape Government will promote freedom and opportunity for all the people of the province through:*

- *Policies and practices that strengthen the Constitution;*
- *Create the conditions for sustainable economic and employment growth;*
- *Alleviate poverty by providing a welfare safety net for those unable to provide for themselves;*
- *Ensure the safety of every person;*
- *Attract, develop and retain skills and capital;*
- *Develop and maintain infrastructure;*
- *Deliver clean, efficient, cost-effective, transparent, responsive public administration.”*

*In support of the Provincial Government’s overall mission, the Department’s mission statement reads as follows:*

*“The Department of Transport and Public Works develops and maintains appropriate infrastructure and related services for sustainable economic development which generates growth in jobs and facilitates empowerment and opportunity.”*

### **Values**

The values endorsed by the Department are those applicable to the Provincial Government of the Western Cape, as decided upon by the Western Cape Provincial Cabinet. The departmental values are then specified with the following wording: truth; accountability; excellence; choice; personal responsibility; fitness for purpose.

(Source: Department of Transport & Public Works, Strategic Plan, p1-2)

### **Comment and Analysis**

The SP provides a good overview of where the Department finds itself (situation analysis), and also indicates the vision, mission and values of the organisation. However, the SP only provides broad strategic directions and objectives, and does not identify clear targets for land provision. Hence, these clear annual targets must be located in the Annual Performance Plan (APP) and in annual action plans, to which we will refer later in this chapter.

The following important and relevant points in the situation analysis section of the document must be noted (Department of Transport & Public Works, Strategic Plan 2010: 11-12):

*In addition, this requires a renewed focus on innovative and alternative methods of resourcing priority programmes, such as the leveraging of the property portfolio to generate new revenue streams...*

Leveraging the property portfolio - of which DPW is the custodian - to generate income for the Provincial Government is clearly perceived as an important function of DPW by the Department itself. In Chapter 5 and 6 of this thesis the researcher will return to this matter, assessing the effectiveness of DPW in this field of operation.

#### **4.4.1.4 Policy Mandates of the Department**

Policies that are applicable to land provision can only be drafted within existing legislative and official policy parameters – hence the relevant existing (broad) policies are referred to in the section that follows. The SP indicates the policy mandates of DPW, extracted selectively by the researcher with focus on land provision for new state health facilities, as follows:

*In the main, the following national and provincial policies guide the Department when discharging its responsibilities. The key responsibilities of the Department are outlined below.*

***Western Cape Provincial Government White Paper on the Management of Provincial Property, 2004***

*provides a framework to guide the activities relating to the fixed properties of the Western Cape Provincial Government and other properties utilised by the Provincial Government in order to achieve government's objectives. It also covers coordination with the property management activities of other public and civil society role-players in the Province.*

***Western Cape Provincial Property Disposal Policy***

*aims to guide development, drive transformation and instill confidence in especially underdeveloped areas to redress imbalances of the past and to promote economic activities.*

***Western Cape Provincial Acquisition Policy***

*aims to guide the custodian(s), amongst others, to acquire immovable assets, promote and specify uniform criteria and processes.*

***Planned policy initiatives***

*The changing legislative environment affecting the Department suggests a review of the:*

- *Provincial White Paper on Property Management, 2004*
- *Provincial Property Disposal and Acquisition policies*
- *Western Cape Land Administration Act, 1998*

(Source: Department of Transport & Public Works, Strategic Plan 2010: 7-10)

**Comment and Analysis**

It is clear that the land provision work/mandate of DPW has proper national and provincial policy foundations, as mentioned above, which are complemented by the SP and the APP. It must be noted that DPW is considering a review of an Act, a White Paper, and certain policies – policy changes as a result of such a review may impact on land provision. It is a shortcoming in current DPW policy documentation that the SP does not indicate when such review will be performed, and by whom.

**4.4.1.5 Description of the Strategic Planning Process**

In the SP (Department Strategic Plan 2010: 19 - 22) the strategic planning process – impacting directly on the Strategic Plan policy document - that DPW has followed up until March 2010 is described as follows:

*Step 9: Alignment process*

*A process was initiated to improve alignment between this five year Strategic Plan, the three year Annual Performance Plan and the 2010 Medium Term Budget Statement. This was undertaken by*



*the Strategic Planning, Monitoring and Evaluation, Financial Management and Enterprise Risk Management teams.*

*The process described above, resulted in the following outcomes:*

- *the Departmental Mission and Strategic Goals, as captured elsewhere in this document*
- *identification of three core areas of the Department, namely*
  - *Increasing access to safe and efficient transport*
  - *Provincial Infrastructure and Property Management*
  - *Expanded Public Works Programme*
- *the determination of six strategic thrusts namely*
  - *Innovative Resourcing*
  - *Building Infrastructure*
  - *Governance*
  - *Creation of Partnerships*
  - *Transport Infrastructure*
  - *Asset Management*
- *the formulation of five ministerial priority programmes namely...inter alia:*
  - *The creation of a highly effective Department and the freeing up of resources through instituting efficiency measures and programmes*
  - *Leveraging the Province's CBD properties as part of a greater Cape Town project to yield fit for purpose provincial accommodation as well as additional revenue streams by 2014*
- *The formulation of ten Provincial Strategic Objectives (SO), namely*
  - SO1: Maximising Economic and Employment Growth and Sustainability*
  - SO2: Improving Education Outcomes*
  - SO3: Moving the Western Cape Forward: Increasing Access to Safe and Efficient Transport*
  - SO4: Maximising Health Outcomes*
  - SO5: Reducing Crime*
  - SO6: Optimising Human Settlement Integration*
  - SO7: Maximising Sustainable Resource Management and Use*
  - SO8: Increasing Social Cohesion*
  - SO9: Alleviating Poverty*
  - SO10: Clean, value-drive, efficient, effective and responsive government*

- *A record of how the business of the department supports the achievement of other strategic objectives as described in the draft directives was compiled*
- *Strategic objectives, performance indicators and targets*

The golden thread running through all the DPW objectives and plans, relating to land provision specifically, is underlined above.

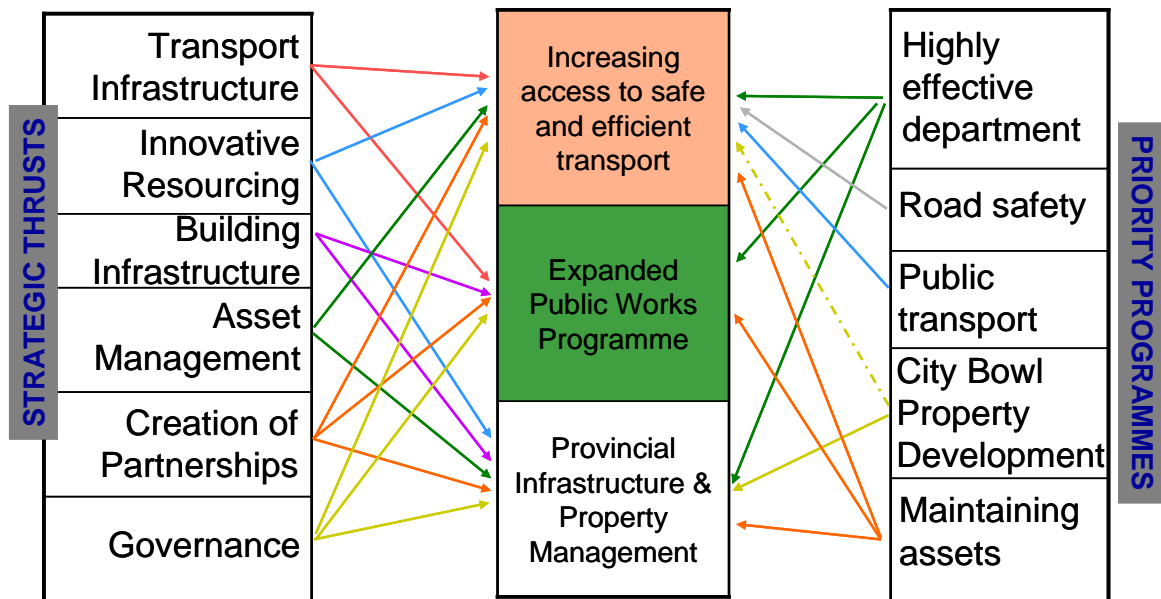
### **Comment and Analysis**

- The SP excels in its exposition of how various DPW teams consulted in an endeavour to ensure that the macro and other related policies of the Department are aligned with each other. Proper consultations and alignment of new policies with existing legislation and broad policies are critical in development of effective new policies.
- The DPW's mission, strategic goals, three core focus areas, six strategic thrusts, five ministerial priority programmes, and ten provincial strategic objectives are clearly outlined. In addition, it is mentioned that there will be targets and performance monitoring. The Strategic Plan clearly is a properly-constituted policy document.
- Targets and a monitoring system are not spelt out in the SP, and it is expected that this aspect will be attended to in the APP and action plans.

#### **4.4.1.6 Strategic thrusts and ministerial priority programmes mapped to three core focus areas of DPW**

The figure below indicates how DPW plans to ensure that the DPW Minister's priorities are strategically executed.

**Figure 2: Mapping of Strategic Thrusts and Ministerial Priority Programmes to Departmental Core Areas**



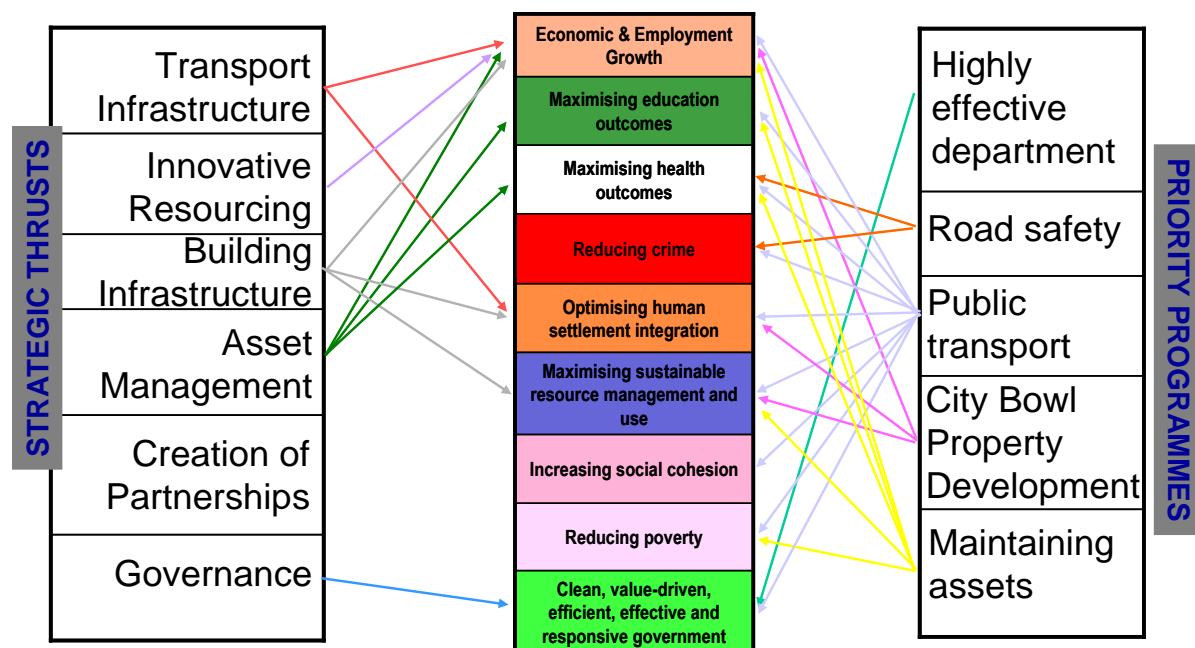
(Source: Dept of Transport & Public Works, Strategic Plan 2010: 22)

### Comment and Analysis

- It is clear that DPW has contextualised and understood how its mandate encompasses various priorities and factors, and how related administrative actions are interdependent.
- Effective asset management and infrastructure development will require innovative resourcing, such as leveraging the property portfolio to generate additional revenue for the Department. In this process partnerships are critical, also with the private sector.
- The important results of effective health facility development will generally be improved health conditions, decreased health expenditure by the government, increased job creation through expanded public works, better integrated communities, and poverty reduction.

In addition to the core areas which the Department is required to drive, the strategic thrusts and priority programmes can be mapped to the provincial strategic objectives driven by other provincial departments supported by DPW. DPW effectively locates its objectives and work within the broader governmental objectives of the Western Cape Government.

**Figure 3: Mapping of Strategic Thrusts and Priority Programmes to Provincial Strategic Objectives**



(Source: Dept of Transport & Public Works, Strategic Plan 2010: 23)

#### 4.4.1.7 Strategic goals of the department

The following goal as quoted from the Strategic Plan, related to land provision, is important for this research project (Dept of Transport & Public Works, Strategic Plan 2010: 23):

**TABLE 3: STRATEGIC GOALS OF THE DEPARTMENT**

<b>Strategic Goal 4</b>	Lead the development and implementation of Provincial Infrastructure and Property Management in the Western Cape.
<b>Goal statement</b>	To lead the development and implementation of provincial infrastructure and the management of property, inter-governmentally and transversally within the Western Cape by meeting appropriate standards by 31 March 2014.
<b>Justification</b>	Infrastructure delivery and property management is critical to sustain economic development and to support the achievement of the Millennium Development Goals by 2014.

## Comment and Analysis

The Strategic Plan captures the strategic objectives of the Department well, logically deducted from various sources of information and planning processes, and then linked into one coherent plan.

The SP clearly emphasises the importance of joint planning processes (with stakeholders and clients) and of partnerships within and outside of the government sector. The complexity of and serious need for large projects that will create jobs and increase DPW income are highlighted in DPW Strategic Goal nr 4.

### 4.4.1.8 Budgeting considerations

Regarding budgeting the Strategic Plan states that:

- i) Funding for Health and Education infrastructure and maintenance projects is located on the budgets of Health and Education respectively.*
- ii) Expenditure figures for Education and Health are drawn from Vote 5 and 6 respectively.*
- iii) Department of Health facilities refer only to new facilities and not to upgrading and extending of existing facilities.*

The amount budgeted by DPW in Programme 2: Public Works for acquisition of land in the 2010/11 financial year is R3,889M, within the overall envisaged expenditure of R772,177M in this particular programme.

(Source: Dept of Transport & Public Works, Annual Performance Plan 2010: 15)

## Comment and Analysis

The researcher will return to the matter of policy programme resourcing in Chapter 5, but for now it is important to state that the amount budgeted for land provision in the specific financial year is totally inadequate.

### 4.4.1.9 Need for development of human resource capacity

According to the Strategic Plan (Dept of Transport & Public Works, Strategic Plan 2010: 39-41) “expenditure estimates are affected by the following complexities”:

- *Specialist support to develop complex business cases for provincial infrastructure and property management.*
- *Limited skills to deal with complex administrative and governance matters.*

The Strategic Plan states that:

*Increases in technical support personnel to respond to upward adjustment of capital and maintenance provisions vested on the budgets of clients departments, e.g. health and education.*

*The staff component is constituted of a smaller solid core of permanent employees in service for significant periods. As a result capacity gaps and vacancies in the professional echelon and technical assistance are compensated by contracting-in local retired and foreign professionals through a bilateral international period agreement. This is an interim solution whilst permanent capacity is developed and skilled.*

### **Comment and Analysis**

- DPW is in need of special expertise with a view to develop complex business cases in immovable asset management, and to design solutions for specific complicated governance matters.
- Capacity gaps exist in professional and technical career paths. It is acknowledged that permanent capacity must be developed in this regard.

#### **4.4.2 Annual Performance Plan (2010/11) – Policy document 2**

The Annual Performance Plan (APP) of the Department must “set the targets with regard to the implementation of the strategies” of the Strategic Plan, as indicated by the Minister in his foreword to the SP. The APP contains substantial references to and descriptions of the expenditures to be made in realising the strategic objectives of DPW.

In the Annual Action Plan section 3.4.4 specific targets are provided, while the APP focuses on how the objectives of the SP are turned into concrete goals. It is thus not possible to find measurable targets by only studying the APP, in isolation of the Annual Action Plan.

The following two tables from the APP demonstrate how the broad policy programmes of the Strategic Plan are cast into measurable objectives and how financial resources are allocated in order to realise the execution of Programme 2 (the Public Works programme).

**TABLE 4: STRATEGIC OBJECTIVES FOR PUBLIC WORKS PROGRAMME  
(Programme 2)**

<b>Strategic Objective 2.1</b>	Strategic directive developed and implemented for Provincial Infrastructure and Property Management.
<b>Strategic Objective 2.2</b>	Reviewed Strategic Infrastructure Plan and Management Framework developed.
<b>Strategic Objective 2.3</b>	GIAMA implemented and complied with.
<b>Strategic Objective 2.4</b>	Facilitated and delivered sustainable Provincial infrastructure and accommodation.
<b>Strategic Objective 2.5</b>	Developed plans and secured funds for Provincial Infrastructure delivery.
<b>Strategic Objective 2.6</b>	Promoted socio-economic development through the implementation of Provincial Infrastructure, Provincial Accommodation and Property Management programmes.

(Source: Dept of Transport & Public Works, Annual Performance Plan 2010: 11)

**TABLE 5: EXPENDITURE ESTIMATES FOR PUBLIC WORKS (Programme 2)**

Sub-programme R'000	Outcome			Main appro- piation 2009/10	Adjusted appro- piation 2009/10	Revised estimate 2009/10	Medium-term estimate			
	Audited 2006/07	Audited 2007/08	Audited 2008/09				% Change from Revised estimate			
							2010/11	2009/10	2011/12	2012/13
1. Programme Support	112 279	100 132	135 422	175 097	175 671	175 671	204 719	16.54	211 724	217 035
2. Design							15 000		15 000	15 000
3. Construction	112 270	117 797	157 198	70 500	92 056	92 056	78 285	(14.96)	102 285	145 000
4. Maintenance <sup>b</sup>	42 641	54 162	55 850	38 206	67 612	67 612	78 925	16.73	122 008	133 516
5. Property Management <sup>a</sup>	166 538	190 584	422 136	358 839	468 425	468 425	395 248	(15.62)	412 250	415 741
<b>Total payments and estimates</b>	<b>433 728</b>	<b>462 675</b>	<b>770 606</b>	<b>642 642</b>	<b>803 764</b>	<b>803 764</b>	<b>772 177</b>	<b>(3.93)</b>	<b>863 267</b>	<b>926 292</b>

<sup>a</sup> 2010/11: National conditional grant: Devolution of Property Rate Funds to Provinces: R181 351 000.

<sup>b</sup> 2010/11: National conditional grant: EPWP Incentive Grant for the Infrastructure Sector: R2 658 000.

Economic classification R'000	Outcome			Main appro- piation 2009/10	Adjusted appro- piation 2009/10	Revised estimate 2009/10	Medium-term estimate			
	Audited 2006/07	Audited 2007/08	Audited 2008/09				% Change from Revised estimate			
							2010/11	2009/10	2011/12	2012/13
<b>Current payments</b>	279 941	329 807	367 726	400 276	435 573	435 130	501 652	15.29	551 740	568 559
Compensation of employees	63 151	71 195	82 359	94 052	96 426	96 426	118 057	22.43	123 934	129 540
Goods and services	216 790	258 612	285 367	306 224	339 147	338 704	383 595	13.25	427 806	439 019
<b>Transfers and subsidies to</b>	40 388	31 119	158 233	164 865	268 864	269 254	181 351	(32.65)	192 232	201 844
Provinces and municipalities	40 040	30 000	147 094	164 865	268 864	268 864	181 351	(32.55)	192 232	201 844
Non-profit institutions			10 000							
Households	348	1 119	1 139			390		(100.00)		
<b>Payments for capital assets</b>	113 308	101 656	244 647	77 501	99 327	99 327	89 174	(10.22)	119 295	155 889
Buildings and other fixed structures	83 556	87 797	238 359	70 500	91 933	91 933	78 285	(14.85)	102 285	145 000
Machinery and equipment	1 901	6 451	3 434	7 000	7 123	7 123	7 000	(1.73)	7 000	7 000
Land and subsoil assets	26 265	7 408	2 854	1	271	271	3 889	1 335.06	10 010	3 889
Software and other intangible assets	1 586									
<i>Of which: "Capitalised Goods and services" included in Payments for capital assets</i>				70 500	91 933	91 933	78 285	(14.85)	102 285	145 000
<b>Payments for financial assets</b>	91	93				53		(100.00)		
<b>Total economic classification</b>	<b>433 728</b>	<b>462 675</b>	<b>770 606</b>	<b>642 642</b>	<b>803 764</b>	<b>803 764</b>	<b>772 177</b>	<b>(3.93)</b>	<b>863 267</b>	<b>926 292</b>

(Source: Dept of Transport & Public Works, Annual Performance Plan 2010: 15)

### **Comment and Analysis (regarding (a) strategic objectives and (b) expenditure estimates as indicated above)**

The following comments can be made based on critical analysis of Table 4 and Table 5:

- Extended planning and funding processes in order to deliver new state facilities are mentioned in the APP, but insufficient emphasis is placed on how to achieve and accelerate



implementation and the resultant benefits of health development, economic development and job creation in a developmental state with significant poverty and unemployment problems.

- The APP generally does not set clear targets and annual time frames for land provision to DOH. Effective monitoring cannot take place without clear targets – impossible. Hence, the researcher will also analyse the annual action plan (operational plan) for land provision at the end of this chapter.
- In the Public Works Programme 2 Budget only R3,889M is budgeted in 2010/11 for acquisition of land for new state facilities, including health and education facilities. This amount is totally insufficient, in view of the fact that such an amount can in some neighborhoods only finance a single residential home, whilst DPW must acquire land for new state hospitals and clinics in an entire province with the same amount of money. Also see Question 4 under 4.4.3 here below please.
- The APP does not indicate from which budget the necessary specialist support for developing complex business cases and property management strategies/implementation plans will be funded, or whether expert consultants or contract positions are the Department's preferred route. The need for additional financial resources for DPW and the strategy of leveraging the central city property portfolio in this regard is mentioned, but it is not clear when the new models will be developed, and by whom. Without added expertise/capacity, DPW will not be able to increase its income streams and impact.
- Solutions to the problem of unsatisfactory stakeholder cooperation, especially with client departments, are not suggested in the APP – it is only mentioned that the current cooperation is ineffective, inefficient, uneconomical, and impacting negatively on property management.
- It is not indicated in the APP how the risks (listed in the APP) for DPW will be addressed. These risks are:
  - Unclear mandates, or changing of project scopes by client departments.
  - Ineffective service level agreements with client departments.
  - Lack of consensus building with partners.

#### **4.4.3 The Departmental Budget (Policy document 3) and the budget planning process**

The Departmental Budget as approved by provincial Cabinet can be regarded as an important policy document *per se*. In an interview (Nicholas, 2010) with the researcher the Budget Manager of DPW *inter alia* described the budgeting process of the Department. The researcher posed open-ended questions in order to find information and obtain insight into DPW's financial resource planning and utilisation as a critical factor in successful policy implementation. Below follows important

answers to questions by the researcher. Related matters that require further exploration will be addressed in the last chapters 5 and 6 of the thesis.

### **Interview Questions and Responses**

**Q1:** What is your experience of cooperation between DPW and DOH, in regard to delivery of new state health facilities in the Western Cape?

**A:** Service level agreements between DPW and DOH are complex and must be improved. Problems exist with, for instance, project payment and project management/accountability.

Cooperation amongst DOH, Property Management (in DPW) and Public Works (in DPW) must be improved.

**Q2:** How does DPW budget for purchasing of land for new state health facilities?

**A:** DPW does its budget planning for purchasing of land for new state health facilities based on requests received from the client department (DOH). Budgeting for land acquisition is complex, due to the complicated nature of some property transactions, complex cooperation with stakeholders, scarcity of vacant land, fluctuating markets, and uncertainties related to time frames of projects.

**Q3:** Generally, describe the cooperation between DPW and DOH in terms of financing of new state health facility projects?

**A:** DOH provides the funds to construct the new state hospitals and clinics, whilst DPW acts as agent and project manager. The Department of Property Management at DPW plays an important facilitatory role in these processes.

DPW purchases vacant land, and pays for leases, while the client department, such as DOH, must provide funds for construction and re-construction projects.

Each government department must state their accommodation needs and plans in a User Asset Management Plan, in accordance with GIAMA (Government Immovable Asset Management Act, Act No 19 of 2007). The existing Infrastructure Programme Implementation Plans (IPIP) will, in accordance with GIAMA, be replaced by User Asset Management Plans.

DPW must send its own Custodian Asset Management Plans to Provincial Treasury.

**Q4:** What amount has been budgeted by DPW for health facility land acquisition in the 2010/2011 financial year?

**A:** The latest indication of funding needs to acquire land in the 2010/11 financial year – as received by the Budget Office of DPW, from Property Management (also DPW) – amounts to R21M, whilst only R3,889M has been budgeted.

Q5: How is land related budget planning performed?

A: Performance monitoring during the first five/six months of a financial year – April to August – assists with planning for the Medium Term Expenditure Framework (MTEF), published in September annually. When the Medium Term Expenditure Committee (MTEC) meet in August annually, planning is done and projects adjusted for three years in advance (e.g. for 2011/12, 2012/13, 2013/14). In November/December preliminary allocations for the next financial year is made by MTEC. In February of the next year the final budget allocations for the new financial year is made.

Q6: How does the Budget Office assist with project monitoring and policy evaluation?

A: Monitoring of the APP indicators is performed by Provincial Treasury, the Premier, and National Treasury; usually quarterly. The DPW Budget Office also plays an important role in monitoring of the execution of projects that are officially budgeted for. Line departments are responsible for internal monitoring.

Q7: How do you see the future role of the Property Management Directorate of DPW?

A: Property Management will in future have to do increasingly important work regarding:

- Purchase of vacant land.
- Determine optimal use of existing government buildings and land.
- Ensure integrated planning in communities.
- Investigate most suitable economical models e.g. leasing vis-à-vis constructing own buildings.
- Facilitating new policy decisions that encompass the big picture.

### **Comment and Analysis**

Cooperation between DPW and DOH needs to be improved. It is suggested that this will have to take place in a structured manner, a point to which we will return in chapter 6 of this thesis.

The dates of launching of new capital projects will have to be cast in stone (annually), to order processes, and efficiently plan and budget for land acquisition and construction.

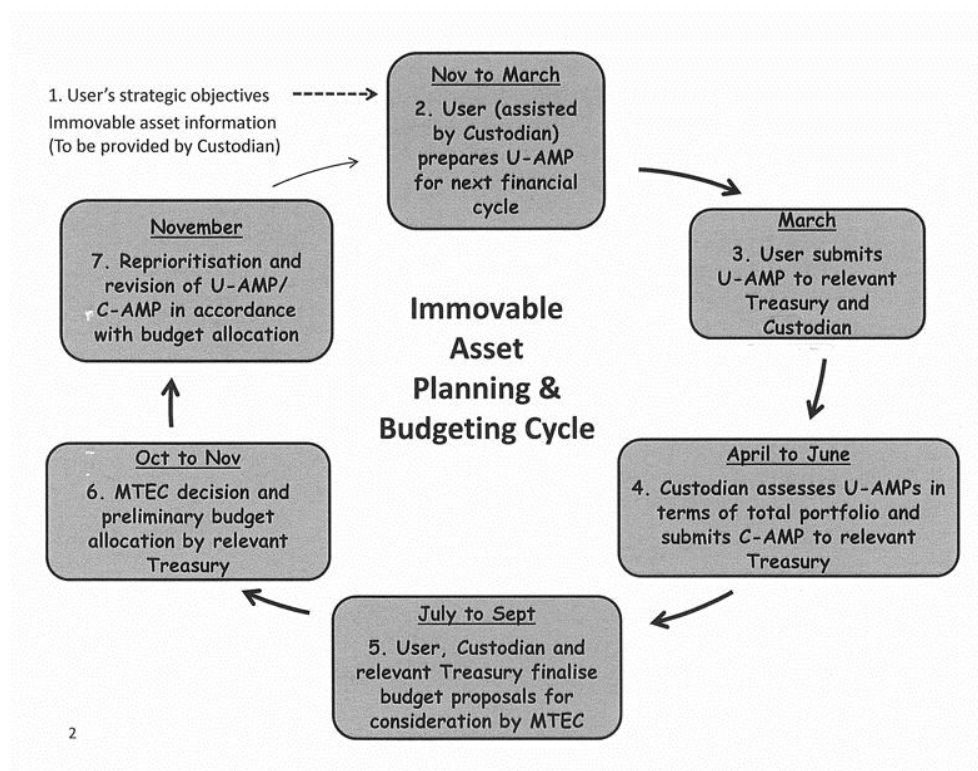
Sufficient financial resources must be made available annually towards the land acquisition programme.

The Budget Manager indicated that “in some cases” DOH would provide the funds to buy land from its own budget. It could however not be determined by the researcher in which cases this mode of operation could be employed. The Budget Manager also indicated that it is possible to access additional/special funds for land acquisition from Provincial Treasury, based on special motivations. It could not be established by the researcher which projects (of the R21M requests) are

legally mandated priorities for the current financial year; this is not indicated in any policy documentation.

In Figure 4 the immovable asset planning and budgeting cycle – applied by DPW - as prescribed by GIAMA is demonstrated.

**Figure 4: Description of the immovable asset planning and budgeting cycle, as prescribed by the new GIAMA (Government Immovable Asset Management Act, Act No 19 of 2007)**



(Source: Diagramme provided by DPW Budget Office)

Subsequently we will look at the fourth policy document in the set of policy documents that directly impact on land provision towards construction of new state health facilities.

#### **4.4.4 Procedure Manual for Acquisition of Immovable Assets (First Draft 19/02/2010) – Policy document 4**

In this manual the administrative processes to be followed when DPW performs certain property transactions, are described. The following transactions are described:

##### **Expropriation**

This section of the manual has not been completed – it is outstanding (vacant space in the manual).

##### **Exchange**

“In the case of exchange of provincial property the transaction is regarded as a purchase (property received) and as a sale (disposal of property) transaction.”

“These transactions (exchange agreements) are effected in terms of the Western Cape Land Administration Act, Act 6 of 1998 and its Regulations.”

##### **Servitudes and Usufruct Rights**

The eight steps in establishment of these rights are described.

##### **Donations**

Donations are effected in terms of Section 76(1)(l) of the Public Finance Management Act and Treasury Regulations 21.3.1 and 21.3.2:

“Sect 76 Treasury Regulations and Instructions

(1) The National Treasury must make regulations or issue instructions applicable to departments, concerning –

(l) gifts or donations by or to the state.

Treasury Regulations 21.3.1 and 21.3.2

21 Gifts, donations and sponsorships

21.3 Gifts or donations of immovable property by or to the state (sections 76 (1) (k) and (l)

21.3.1 The relevant treasury’s approval must be obtained before institutions offer or accept any gifts or donations of immovable property.

21.3.2 Institutions must submit to the relevant treasury the reasons for and the conditions under which the gift or donation of immovable property is offered or accepted.”

Transfer of immovable property as a result of donations or gifts is regulated.

Subsequently the twelve steps in the donations process are spelled out.

### **Private Public Partnerships**

PPPs are exclusive competencies of accounting officers and accounting authorities. Only an accounting officer or an accounting authority may enter into a PPP agreement on behalf of the institution. A number of further stipulations are provided.

### **Transfers**

Transfer of an immovable asset from one sphere of government to another sphere of government. Such transfer takes place in terms of an Act of Parliament which stipulates that there is a function shift from one sphere of government to another. Ten steps to be followed when effecting transfers are described.

### **Purchases**

The twelve steps related to purchase of assets are described.

### **Leasing-in of Office and Core Business Accommodation**

Five steps in this process are described.

Renewal of existing leases is described.

Some inputs from Property Planning Section seems to be outstanding in this part of the document.

### **Vesting**

The vesting process and role players are described.

### **Comment and Analysis**

From the above concise references to and summaries of the manual, it is clear that:

- The administrative processes to be followed by DPW in land acquisition and other property transactions are well-defined and stipulated in administrative manuals such as the one described above. The critical issue is whether the DPW management and staff responsible for land provision are knowledgeable regarding all these administrative processes.
- An outstanding question is whether innovative property management models are being pursued.
- The points mentioned above will be dealt with in more detail when policy implementation is discussed in the chapter 5

Finally, we will now analyse the relevant DPW operational plan, as fifth land provision policy document.

#### **4.4.5 The Annual Action Plan (operational plan) – Policy document 5**

The following document was provided to the researcher by DPW during April/May 2010, subsequent to a request for the department's land provision annual operational plan document.

What follows is a part of the document, not the entire document, and it is included here to demonstrate certain important points. Important is to view the format of the document, the elements it contains, and the indicators utilised for measurement of progress.

(Source: Dept of Transport & Public Works, Operational Plan 2010)

**TABLE 6: EXTRACT FROM DPW OPERATIONAL PLAN**

<b>PRIORIT Y</b>	<b>REGION</b>	<b>TOWN</b>	<b>ERF NO.</b>	<b>Owner</b>	<b>DESCRIPTION OF REQUIREMENT</b>
<b>URGENT</b>	Southern Cape/Karoo	Heidelberg	TBO	Private Owner	Property Required - Next to the existing Clinic Ef numbers - 1336 and 1337 Heidelberg
<b>URGENT</b>	Boland/Overberg Region	De Doorns	TBO	Municipality	Property Required - New Town Development at Orchard by Breede Valle Municipality
<b>URGENT</b>	Boland/Overberg Region	Bonnievale	TBO	Krabbeland Chreche	Property Required to construct a Ambulance Station & Clinic
<b>URGENT</b>	Metropole	Du Noon (Table View area)	TBO	National	Site Required to construct a Clinic
<b>URGENT</b>	Metropole	Michell's Plain CHC 90	TBO	City of Cape Town	Property required for new CHC 90 Oliver Tambo Road
<b>URGENT</b>	Metropole	Khayelitsha CHC 90	TBO		Property Required next to R310 (Accessable for Khayelitsha & Muizenberg)
<b>URGENT</b>	Boland/Overberg	Tulbagh	TBO	Municipality	New Ambulance Station on Municipal Clinic site to be Constructed . Prop to find out if entire site to be transferred to Province to accommodate Ambulance Staion on site
<b>URGENT</b>	Metropole	Ruyterwacht	TBR	PGWC Dept of Education	Erven 3292 & 3294 not to be disposed by PM but to be reserved to Construct a Clinic in the future
<b>URGENT</b>	Metropole	Robbie Nurock	TBO	PGWC	Works Dept to investige site at Peninsula Hospital to be demolished and site to be used to build new Cliic
	Southern Cape/Karoo	Mossel Bay	TBO	Municipality	PM to obtain Land to construct new District Hospital
	Southern Cape/Karoo Eden District	George	TBR	Dept of Education	Erf 4200 to be transferred to Municipality in exchange for Conville Clinic
	Metropole	Atlantis	TBO		Erf for District Hospital Altantis
<b>VERY URGENT</b>	Metropole	Michell's Plain	21160	City of Cape Town	Erf Adjacent to Michells Plain CHC
<b>Urgent</b>	Southern CapeKaroo	Knysna			Site Required in Town to construct a Clinic
	Metropole	Delft	TBO		Site required Ajacent Exisitng Clinic to construct Arv Clinic
<b>Urgent</b>	West Caost Winelands	Mooreesburg	TBO		New Site for Ambulance Workshop or Lease Building in Moreesburg
<b>Urgent</b>	West Coast Winelands	Piketberg	TBO	Municipality	New site for Ambulance Ambulance Station - Site next to Radie Kotze Hospital - Access from Radie Kotze site ( PTN of Farm 241 Grootefontein
<b>Very Urgent</b>	Metropole	Pinelands Ambulance		City of Cape Town	Transfer of Ambulance Station from Mun to PGWC Erven 00-103659-1 and Erf 00-118296 Adjacent A/Station
	Southern Cape Karoo Region	Beaufort West	TBR	PGWC	Erf 2826 to be reserved - as Requested letter 23 Jan 2006



<b>ACTION TO BE TAKEN</b>	<b>SIZE REQUIRED</b>	<b>Purpose</b>	<b>Progress by Property Management</b>
PM to obtain property	2000sqm	New Ambulance Station to be constructed	Property Management to obtain
PM to obtain site	4000sqm	New Ambulance Station to be constructed	Property Management to obtained
Property Required	6000sqm	For New <u>Ambulance Station &amp; Clinic</u> to be constructed	Property Management to obtain a big Erf to construct a Ambulance Station as well as Clinic
PM to obtain property	4 hectare	New Clinic to be constructed	Property Management to obtain the site next to Bus Terminus Cnr of Blaauwberg Road and Potsdam Road
PM to obtain property Negotiating with Education	4000sqm	New CHC to construct	PM to liaise with ity of Cape Town
PM to obtain property	3 hectar	New Clinic to be constructed	Property Management to obtain Liaise with Alisa Bosman
Transfer Facility to PGWC	Entire site	New Ambulance Station to be constructed on New Clinic Site	Property Management to Transfer Clinic
PM not to Dispose of Erven 3292 & 3294	3000sqm	New Clinic to be constructed	Property Management to reserve sites
Erf Required (District Six)	Entire Site	New Clinic & Dental Included, plus ARV Clinic	Works to do assessment at Pininsula Hospital
Land required		New Mossel Bay Hospital ( Future HRP Project)	Property Management to obtain Liaise with Mossel Bay Municipality
Erf 4200 to be transferred by PM to Municipality in exchange for Conville Clinic	3000sqm	To obtain Conville Clinic	PM to transferf Erf 4200 to Municipality in exchange for Conville Clinic
PM to obtain property		New Hospital	Property Management to obtain site
ERF 21160	2000sqm	Construction of New Casualty Unit	Property Management waiting for approval from City of Cape Town Right of Access obtained
New site required	3000 to 4000sqm	To construct a New Clinic	Property Mangement to obtain Property
Site required Adjacent CHC	1000sqm	To Extend Clinic ( ARV Clinic)	Property to investigate (Site belongs to Church)
Site in Industrial Area	5000sqm	New Site for Ambulance Workshop or Lease Building in Moreesburg	Property Management to obtain property or to lease building for Workshop
Site Adjacent Hospital	4000sqm	New site for Ambulance Station	PM to obtain site from Municipality
Transfer of Ambulance Station	Entire site	To be transferred by Property Mangagement	To be transferred by Property Mangagement
PM to Reserve Erf 2826	Entire site	PM to Reserve Erf 2826	Property Management to reserve sites

## Comment and Analysis

Some basic information is provided regarding projects in progress. A number of projects are identified as priorities (“urgent”), but it is not clear which of these projects have been legally requested/mandated by the client department, namely Western Cape Department of Health.

No mention is made of in which financial year these projects will be completed; or in which year transfer of these properties will take place. In other words, there are no clear targets to be achieved in an annual period, which renders proper monitoring and evaluation impossible.

Envisaged costs of these transactions are not mentioned, that is purchase price as well as transfer and other fees. Such an oversight creates uncertainty and additional complexities in the budgeting processes.

It is not indicated who are the accountable manager/s responsible to deliver these projects on time, as would be expected in a complete operational plan.

No milestones (e.g. quarterly) towards timely achievement of targets are indicated, as would be expected in a complete operational plan.

## 4.5 Application of the Policy Documentation Template to DPW policy programme

In this section the Policy Documentation Template that was developed in Chapter 2 is applied to the set of five policy documents utilised by DPW in its land provision policy programme. The PDT form was completed by the researcher; comments and suggestions are in bold-italics.

**TABLE 7: THE POLICY DOCUMENTATION TEMPLATE: APPLIED**

INDICATOR ELEMENT IN POLICY DOCUMENT	<i>Yes</i>	<i>No</i>
1) <b>Introduction/ background/ rationale</b>		
Reference to?	<i>Yes</i>	
Proper description?	<i>Yes</i>	
Are policy options explored?		<i>No</i>
<i>Comment</i>		
<i>Although mention is made of the need to leverage the property portfolio in order to generate new income streams for the DPW, and that innovative</i>		

<i>property management models need to be explored, the policy documents lack information as to who and how this quest will be taken forward.</i>		
<b>2) Policy development &amp; Consultation process</b>		
Reference to?	Yes	
Proper description?	Yes	
Who are the relevant policy makers within the Department?		No
<b>Comment</b>		
<i>Excellent information is provided on the consultative processes followed in policy formulation, but little is said regarding how policy reviews and changes can be introduced, and by which body. It is not clear who are the DPW policy makers regarding land provision.</i>		
<b>3) Institutional &amp; organisational arrangements</b>		
Reference to?	Yes	
Proper description?	Yes	
Key stakeholders and institutions mentioned?		No
Key role players and responsibilities mentioned?	Yes	
Organisational structure & functions described?	Yes	
Structural/Functional: is the Department structured in accordance with the key objectives to be achieved?	Yes	
<b>Comment</b>		
<i>Institutional and organisational arrangements are properly described in policy documents, but little mention is made of the critical stakeholders and partners with who DPW must cooperate to enable effective land provision on time.</i>		
<i>It is evident that the function of land provision towards new state health</i>		

<i>facilities is not properly staffed.</i>		
<i>Insufficient specialist expertise is available to manage complex cases and introduce innovative models.</i>		
<b>4) Overall policy objectives of Department</b>		
Are the policy objectives clear and measurable?	Yes	
Are the envisaged outputs clearly outlined, per year?		No
<b>Comment</b>		
<i>The strategic objectives are clear, but concrete outputs to be achieved per annum are lacking in the documentation.</i>		
<b>5) Action plan for the specific policy programme, e.g. land provision for new state health facilities in Western Cape Province</b>		
Is an Action Plan available?	Yes	
Are the priorities <i>per annum</i> stated? (E.g. erven to be transferred per year; indication of year in which construction of health facilities will start)		No
Is it clear which official (manager) is accountable for the overall performance of the specific policy programme?		No
Is it clearly stated who the project managers responsible for individual projects are?		No
Is provision made for monitoring of progress with individual projects?	Yes	
<b>Comment</b>		
<i>Although an annual action plan is available and internal monitoring takes place to some extent, this plan is lacking in terms of indicating annual deliverables, mandates, budget approvals, milestones, and accountable officials/managers. These are serious shortcomings in the documentation, since no proper monitoring and evaluation can take place where annual action plans do not state measurable targets per annum.</i>		
<b>6) Resource availability</b>		

<ul style="list-style-type: none"> <li>• <i>Financial resources availability</i> <ul style="list-style-type: none"> <li>○ <i>Operational expenses?</i></li> <li>○ <i>Staff appointments?</i></li> <li>○ <i>Capital to purchase land?</i></li> <li>○ <i>Capital to construct new health facilities?</i></li> </ul> </li> </ul>	<i>Yes</i>  <i>Yes</i>  <i>Yes</i>	<i>No</i>
<p><i>Staff appointment in the land provision programme is not sufficient.</i></p> <p><i>Capital provision to purchase land for new state health facilities is insufficient (R3,8M in current financial year).</i></p> <p><i>Funds to construct health facilities are available, located in the provincial Department of Health budget.</i></p>		
<ul style="list-style-type: none"> <li>• <i>Human resources availability</i> <ul style="list-style-type: none"> <li>○ <i>Manager (accountable officer)?</i></li> <li>○ <i>Project managers?</i></li> <li>○ <i>Administrative staff?</i></li> </ul> </li> </ul>	<i>Yes</i>	<i>No</i>  <i>No</i>
<i>Comment</i>		
<p><i>Sufficient programme management for the land provision programme is in place, but a lack of project managers is evident, especially project managers with sophisticated cross-cutting skills.</i></p>		
<b>7) Monitoring &amp; Evaluation System</b>		
Are the goals of the specific policy programme (e.g. provision of land for building of new state health facilities) clearly stated in an Action Plan, deliverable <i>per annum</i> ?		<i>No</i>
How is progress towards the goals monitored?	<i>Yes</i>	
Will priority goals be achieved within timeframes or not?		<i>No</i>
How are the results/findings of monitoring fed back into the policy planning system and how are adjustments of the policy (and implementation methods) made? In other words, how is policy review and policy change executed?		<i>No</i>

How is the information gained via monitoring and evaluation processes presented to the Provincial Minister and his/her Executive Management?		<i>No</i>
<i>Comment</i>		
<p><i>Achievement of the goals and targets of the land provision programme cannot be measured effectively, since there are no clearly documented targets to be achieved per annum.</i></p> <p><i>Progress is monitored internally by programme managers and externally (by for instance the Budget Office), but not in accordance with quarterly or annual milestones.</i></p> <p><i>Any findings via current monitoring efforts will not be of much value to the DPW.</i></p> <p><i>It could not be established how the DPW plans for any policy changes, and through which vehicle such changes can be introduced.</i></p>		

#### 4.6 CONCLUSION

In this chapter the land provision policy programme of DPW – specifically the current policy **documents** – was described and analysed. The documents were measured against the Policy Documentation Template, to determine whether they contain the most important elements, principles and characteristics that must be present in effective public policy documentation. Analyses of the set of land provision policy documents have been captured in the “comment and analysis” sections in the chapter. Measurement of the policy documents against the theoretical framework for effective public policy (the PDT) resulted in the researcher’s suggestions for specific changes.

It is concluded that the legislative context within which the provincial government must manage its immovable capital assets (land and buildings) is well described in the *Strategic Plan*. The *Annual Performance Plan* is an effective policy document too, in the sense that the broad objectives of the Strategic Plan are turned into concrete goals, with budgets linked to the programmes/goals. The *Procedure Manual for Acquisition of Immovable Assets* is reasonably clear, but still needs to be completed by DPW. The *Annual Operational Plan* unfortunately reveals a number of important shortcomings, of which the most glaring is that there are no clear targets per annum (with quarterly milestones), linked to specific project managers. This serious fault in DPW land provision policy

documentation renders meaningful policy monitoring impossible, and therefore policy evaluation currently is very problematic. It can only be concluded that all the good work done by DPW in the other land provision policy documents is sabotaged by the flawed *Annual Operational Plan*.

The researcher integrated policy evaluation theory and policy practice at DPW in his analyses and in the applied PDT in Chapter 4. In Chapter 5 the current implementation of the land provision policy programme will be evaluated. In Chapter 6 recommendations will be made as to how the policy documentation and implementation can be improved.

## **CHAPTER 5**

### **EVALUATION OF POLICY IMPLEMENTATION IN THE DPW LAND PROVISION PROGRAMME**

#### **5.1 INTRODUCTION**

The practical implementation of the existing DPW policy programme related to land provision for new state health facilities is assessed in this chapter. This assessment includes questions like: Are the policies viable, and being executed? How does a lack of clear and mandated annual targets affect implementation? How is progress monitored?

A summary of the RSA National Government's approach to implementation at present - providing a national government context to policy implementation also at provincial and local levels - will be followed by a general description of DPW's current land delivery implementation. The DPW's policy implementation will be compared with the Policy Implementation Monitor (PIM), and the lessons learnt in Chapter 3 will be applied. Subsequently, the implementation of two challenging high-priority projects (community health centre in Du Noon, Milnerton, Cape Town and district hospital in Mossel Bay) will be concisely described and critically analysed. The two case studies will practically demonstrate challenges in DPW's processes and progress, and will highlight the importance of effective management information systems (monitoring) as well as accountable project management.

#### **5.2 RSA NATIONAL GOVERNMENT APPROACH TO POLICY IMPLEMENTATION**

Regular national government infrastructure spending and implementation are protection and bulwark against the current repressed state of the global economy, as well as weapons against possible increased unemployment and social decay in South Africa. Resources from national government and development aid from international institutions simply cannot have the desired impact without proper public policy implementation.

The most authoritative recent explanation of the South African government's general policy implementation approach is probably contained in the state-of-the-nation address in South African Parliament by President Jacob Zuma on 15 February 2010, and from his Reply on the following day (Zuma, 2010). This approach can be summarised as follows:



### **Outcomes-driven approach to service delivery**

- Government must be outcomes-driven; pursue concrete outcomes to improve quality of life.
- Care for the needs of citizens.
- Respond faster to needs.
- Stick to upward development path.
- Resources are not always lacking; resources must however be utilised properly.
- Education and job creation are key priorities.
- Appropriate skills must be developed.
- Decent and quality jobs are needed.
- Need to open up RSA economy does not mean State must retreat.
- Need leaders to think clearly about challenges and direction.
- Managers must accelerate implementation.
- Respond to future by action in present; non-racial future envisaged.

### **On policy programme implementation**

- Correct policy choices are critical.
- National Planning Commission will guide RSA's broad public policy directions.
- Implementation processes must be streamlined, in order to speed up outcomes (delivery of public goods and services).
- Changes in methods of implementation need to be considered and made – remove red tape.
- Monitoring and evaluation of progress is critical.
- Performance management is important.
- Delivery agreements to be signed with Ministers; accountable to the President.

### **Researcher's comment and assessment of national government approach**

There is acknowledgement by the RSA Government that changes in policy implementation methods must be considered and applied, should such changes enhance and accelerate implementation, and ensure increasingly caring and effective governance. Furthermore, the following focus areas of the approach must be noted:

- To respond faster to societal needs – in other words to work 'harder, smarter and faster'.
- Optimal use of resources – e.g. use of government assets such as land to create quality jobs.
- Streamlined implementation – cutting out bottle necks and lack of accountability.
- Importance of monitoring and evaluation – are the policies and plans actually executed; new approaches such as e-government and electronic monitoring of implementation.

- Agreements for delivery to be signed with the President, and between Ministers and their executive officers – this commitment emphasises the importance of contracting in regard to delivery of certain targets within a certain time frame; this is crucial for effective delivery and for effective policy evaluation.

In Chapter 6 the researcher will refer to the method of contracting-for-delivery in the public sector, accepted as new delivery strategy by the national government.

### **5.3 DPW'S CURRENT LAND PROVISION IMPLEMENTATION: DESCRIPTION, ANALYSIS AND ASSESSMENT**

#### **5.3.1 Introduction**

In this part of the chapter, implementation of the DPW policy for land provision towards new state health facilities (hospitals, community health centres, clinics) is described, analysed and evaluated. Aspects that will be touched upon are: political influence; alignment of DPW's implementation with the priority needs expressed by their client department, the DOH; stakeholder cooperation; mandates; intra-departmental cooperation; the annual operational plan; general functioning of the land provision programme; resources; and monitoring.

#### **5.3.2 General functioning of the DPW land provision programme**

The researcher acquired information on and descriptions of the DPW land provision programme (data collection methods) via analysis of the policy programme documentation as well as interviews and a questionnaire to DPW (please see Research Methodology in Chapter 1).

The land provision programme of DPW essentially functions as follows:

Processes exist through which the DOH determines where and when new state health facilities will be needed. These needs are determined by a number of factors, amongst which the population numbers in geographical areas and the nature of health challenges (and the disease burden) are the most fundamental. The DOH then budgets for these new facilities. Usually these budgets are multi-annual, in other words there will be funds allocated to build a clinic somewhere three years down the line.

DPW is informed of the needs for new health facilities, and requested to acquire suitable vacant land in the targeted geographical area. DPW must budget to be able to acquire the necessary erven.

DPW management and officials embark on processes to identify potential erven that can be acquired, and start negotiations with the owners of the properties. In some cases (quite often) the property owners are municipalities, which means the provincial government must buy the land from

the local authority. DPW and DOH are in contact over time, especially by means of a regular joint meeting of the managers of the two departments. At these meetings the progress with land acquisition and possible challenges are discussed.

Once the land is acquired, DPW becomes the project manager to ensure that tenders are called for construction of the new facilities. The newly constructed building becomes a state asset, and DPW acts as the ‘custodian’ of the asset, while DOH acts as the ‘user’.

It is clear that an effective work relationship between the accountable Chief Directors of DPW and DOH is of utmost importance, and that they must probably communicate with each other at least twice a month to ensure their officials make progress towards their agreed targets.

(Source: Nicolas, 2010; Pillay, 2010)

In the next subsection the establishment of annual land provision targets will be discussed.

### **5.3.2.1 Are land provision targets set, per annum?**

If targets are not set to be achieved per annum – but for instance any time within a three year period – it is easy for managers and officials to be ‘laissez faire’ about the work of a department. If there is no pressure to perform, activities are postponed, and a civil servant can become guilty of that which is often said about the bureaucracy: laziness, incompetence, and an uncaring approach.

Annual targets are essentially captured in the budget documents of DPW and DOH. The principle is that DOH must decide (and budget for) in which year the construction for a specific health facility must start, and then it must be ensured that the land is available in the foregoing year (Cunninghame, 2010). Achievement of these targets is the joint responsibility of the two departments, even though DPW must actually acquire the land and DOH will provide the budget and design for the buildings.

### **5.3.2.2 How are targets achieved – methodology?**

*Are the steps to be taken in the land provision process fixed and clear and viable?*

The administrative steps to be taken are essentially clear. However, there is not always agreement on new models to be applied, and on the approach to dealing with state assets. There are differences of opinion on for instance selling of state assets in one location with a view to build new facilities at another place, vis-a-vis possibilities of public–private partnerships where the land remains the property of government, but the constructed buildings are maintained by the private sector (Cunninghame, 2010; Pillay, 2010). I will return to these matters in my recommendations,

It must be avoided that DPW managers and officials spend time on *ad hoc* requests for land, which may often lead nowhere. When work is done, it should be mandated work, as agreed to between the two departments. Unnecessary and unplanned investigation into properties is a big time waster in the government immovable asset management context.

*Are project management approaches followed? Client drives project?*

The accountable Chief Director of DPW is of the view that it is not necessary to follow project management approaches in the process to deliver land (Pillay, 2010). The researcher cannot agree with this view, since it has been found that without clear project accountability and mandates it is impossible to deliver on targets. One of the biggest problems facing the two departments indeed is that the one requests land and then the other (sometimes almost reluctantly) must execute the task to find and acquire the land. Who actually owns and drives the project – DPW or DOH? In the recommendations of Chapter 6 the researcher will provide suggested solutions to these problems.

*Are enforceable mandates to acquire land communicated to DPW by DOH?*

Requests to acquire land are communicated, and in fact the budgets of the two departments indicate what must be done, but no enforceable mandates are communicated from the one department (DOH) to the other (DPW). The departments are both independent, and the one cannot, in effect, ‘instruct’ the other to do things. So DOH requests, and then is, at present, in a big way dependent on the goodwill of DPW to deliver on time. (Nicholas, 2010; Cunninghame, 2010)

In the recommendations (Chapter 6) the researcher will suggest solutions to this situation.

*Are the two key partners (DOH and DPW) satisfied with the methodology utilised to release land for new state health facilities?*

The researcher found substantial frustration on, especially, the side of DOH with the long delays to secure land. It has happened that DOH faces the problem of under-spending their budget due to unavailability of land that had to be arranged/acquired by DPW. The meetings between the two departments, where progress is discussed, are found frustrating by DOH. It must be noted that DOH regards this as a meeting where decisions on new courses of implementation action can be made, while DPW regards it as just a monitoring meeting, which is not even always attended by the accountable DPW Chief Director (Cunninghame, 2010; Pillay, 2010).

The next subsection will refer to land provision management responsibility.

### 5.3.2.3 Who manages land provision at DPW?

#### *Overall programme manager?*

Mr Joey Pillay, Chief Director of Property Management at DPW, is the manager accountable to deliver land for new state health facilities. He reports to the Acting Deputy Director-General Mr Thando Mguli, who reports directly to his Head of Department, Mr Johan Fourie.

#### *Suitably staffed department?*

Mr Pillay indicated that he is considering expansion of the human resources allocated for land provision work (Pillay, 2010).

### 5.3.2.4 Political influence on priority land projects

A fundamental implementation question that must be answered is: If the provincial government in any of the nine provinces of South Africa has determined that construction of a specific state hospital or community health centre at a specific location is a priority, can the national government overrule that determination and change that priority in any way, such as by shifting budget allocations away from the province to other projects?

When the DOH determines a priority, and formally requests DPW to acquire land, resources are allocated and utilised by DPW to acquire the requested land. Changing of priorities as a result of national interference in provincial government priorities will inevitably lead to waste of resources, fruitless government expenditure, and constant uncertainties in planning and budgeting processes. It will also ridicule the setting of targets and monitoring of progress towards those targets if important projects are simply changed or called off halfway down the line. In the same manner, changing of priorities by the DOH itself, without influence from the national government – for whatever reasons – will have the same destructive effect in policy implementation, and must be avoided.

The following question was thus posed to a senior consultant of the DOH – who was as Chief Director in DOH responsible for building of new state health facilities until mid-2010, but still consults with DOH – in an interview by the researcher: Can the RSA national government change priorities for new state health facility projects in the Western Cape, as already determined by provincial DOH? The answer was a firm ‘no’. Projects that have been taken up into the budget book of the provincial government have been approved by the provincial Cabinet, and cannot be interfered with by the national government (Cunninghame, 2010).

On the question whether the provincial DOH on occasion changes its own priority projects, Cunninghame (2010) indicated that this can only happen in the most unusual circumstances, since planning for new health facilities is a long-term, comprehensive and thorough process, with

substantial goals that will not easily change. He did however indicate – and this is important – that it has happened in the past that DOH had to reprioritise their projects as a result of delays in the land provision for a specific project by DPW. The point here is that DOH must spend its budget in specific periods, and delays with land provision can either result in under-spending or in unavoidable shift of funds to other projects.

It must be stated that, on the other hand and in many cases, it is in the final analysis only positive political intervention/influence that can ensure success with projects, in the context of provincial cooperation between DOH and DPW. Without political and top management influence – and **agreement** on priorities, approaches and methods – the land provision programme cannot be implemented successfully.

The next subsection will focus on alignment between DOH and DPW.

#### **5.3.2.5 Alignment of DOH land needs with implementation action by DPW**

DPW acts as an ‘agent’ on behalf of DOH. The department must acquire land for new state facilities, and eventually also call for tenders for construction, and project-manage the erection of the buildings. These processes take place in cooperation with DOH as DPW’s ‘client department’.

This cooperation must be close and effective to ensure that – in the first instance – the projects (land acquisition) that DPW is implementing, indeed are the mandated priorities of DOH. In this context some questions arise: how could DPW engage with the Mossel Bay Municipality (see case study later in this chapter) for as long as 7 years (2004 – 2010; and still ongoing) to secure land for a new district hospital? For which year was this project a priority? Should the point of departure for DOH and DPW not be: in what year must construction of the new state facility start? And from that decision, it can be determined and instructed (legally mandated by DOH and Cabinet) that DPW must provide the required land in a specific foregoing year.

When these questions were posed by the researcher to the accountable Chief Director of DPW in an interview (Pillay, 2010), his first reaction was that he had only been acting in the post for a brief period, and could not say why the Mossel Bay matter had been dragging on for so many years. To a question as to whether he would be calling the Mossel Bay municipal manager about the issue, he answered affirmatively. He also indicated that the Mossel Bay issue was a current priority for him. To the question whether he had received an official request from DOH to acquire the Mossel Bay land, he indicated that he had not seen such a request.

It must be noted that a municipality cannot alienate any land legally, unless the matter serves before a full meeting of Council. And it is the role of the municipal manager to instruct an official to prepare a report to Council, when the municipality receives an official request from DPW to purchase land from the municipality. In a case such as this it is imperative that the two top accountable officials of the municipality and DPW respectively (the municipal manager and chief director) must agree on the priority value of the specific project, and ensure that their staff members implement the land sale process.

But how are the DOH priority needs for land during the years 2010/11, 2011/12, 2012/13 expressed (documented) per annum? How are the needs officially communicated to DPW? Which of these ‘priority projects’ are to be accomplished in a specific financial year? How are these cast-in-stone annual land delivery targets agreed on?

Interviews with the two leading public managers in DPW and DOH related to land provision – Mr Pillay of DPW and Mr Cunninghame of DOH – revealed that a written delivery agreement/contract between the two departments (that also has the approval of the two involved Ministers) does not exist. What do exist are various other policy documents, plans (e.g. the Infrastructure Programme Implementation Plan) and budgets. But an annual plan/contract with clear targets as **agreed** by the two departments could not be provided to the researcher. This is a huge shortcoming in policy implementation, since it not only means that proper annual monitoring of delivery cannot take place, but also that land provision is not done effectively, with the resultant negative influence on the health conditions in communities – a serious matter indeed.

#### **5.3.2.6 Focus on the annual action plan and its implementation**

It is accepted management practice that targets are set, to be achieved within a certain time frame, and that implementation of such planning is monitored. It is hard to see how an operational plan can work without clear annual goals. Hence, the following question needs to be answered: Is an annual action plan used by DPW to guide and monitor the department’s acquisition of land for new state health facilities?

The answer is that annual plans do exist (e.g. as referred to under 4.4.5 in the previous chapter), but are seriously flawed and cannot be successfully implemented and monitored. Some of the most obvious flaws are (from Chapter 4, under 4.4.5):

- A number of projects are identified as priorities (“urgent”), but it is not clear which of these projects have been legally requested/mandated by the client department, namely Western Cape Department of Health.

- There is no mention of in which financial year these projects will be completed; or in which year transfer of these properties will take place. In other words, there are no clear targets to be achieved in an annual period, which renders proper monitoring and evaluation impossible.
- It is not clear who the accountable – responsible for delivering these projects on time – manager/s are.
- No milestones (e.g. quarterly) towards timely achievement of targets are mentioned.

Chapter 6 will return to solutions to these shortcomings, when the researcher makes his recommendations. The next section deals with resourcing the land provision programme.

### **5.3.2.7 Resources for the land provision programme**

Generally, DPW has allocated the required resources to make successful implementation of land provision possible – with the exception of human resources. The Acquisition Section of DPW lacks staff (the Chief Director is looking into the matter), and also lacks project management expertise.

#### **Information resources**

DPW's use of information produced via monitoring – to effect changes to the land provision policy and implementation – is a serious point of concern, since it is currently impossible for the department to measure its delivery without an appropriate annual action plan coupled with a contract/agreement with its client (DOH) regarding annual land delivery targets.

#### **Human resources**

Questions and issues regarding staff numbers, expertise, and the use of additional contract workers in the land provision programme are currently being considered by the DPW Chief Director Mr Pillay. (Pillay, 2010)

#### **Financial resources**

Sufficient funds are available in the broader Western Cape Provincial Government to acquire the required land for new health facilities successfully, only if it is taken into account that the Provincial Treasury can be approached to supplement existing allocations. The DPW budget for land purchases is insufficient. (Nicholas, 2010)

Furthermore, creative and innovative models are increasingly being explored by DPW and DOH to unlock the value of existing assets, and, in that manner, fund construction at other localities. An additional approach that is also considered is to engage the private sector, where public-private partnerships (PPPs) can be used to cut down on the current asset maintenance backlog (Cunninghame, 2010; Pillay, 2010).



The importance of strategic disposals of some government properties in order to add value at other locations is not fully agreed on yet within the provincial government, and this seems to require a strategic policy decision by the provincial Cabinet, to resolve and consolidate the divergent views and approaches that at present, to some extent, paralyse the delivery of land, and asset management generally. In my recommendations I will indicate how these complexities can be resolved to a large extent, via a health facility partnership contract.

The next subsection will highlight monitoring of the land provision programme.

### **5.3.2.8 Monitoring of the land provision programme**

Basic monitoring of land provision implementation does take place within DPW, in the following manners:

- Internal monitoring – by the responsible land provision programme manager within DPW (Ms Koeries).
- By the higher management echelons in DPW (Adv Maytham and Mr Pillay).
- By the regular joint meeting of DPW and DOH.
- By the Budget Office of DPW.

(Source: Nicholas, 2010)

However, monitoring of its own land provision implementation by DPW is found by the researcher's to be not only defective, it is not in good standing, faulty, insufficient, poor, deficient, crippled, restricted, and totally flawed. This situation stems from the fact that a clear schedule with clear annual targets to be monitored does not exist. It is true that policy and budget documents exist, but the mere existence of these heaps of paper unfortunately does not mean that implementation takes place effectively. To have objectives and goals and targets is noble, and to have all that written down is a step further, but if time frames/deadlines are not coupled to these, with accountable persons that can be held accountable when delivery is not on schedule, implementation can only be described as haphazard, delayed and incompetent.

The fact that scientific monitoring is impossible means that it is impossible to see why land provision is so problematic and slow, and is also not possible to sanction managers and officials who do not perform. Furthermore, in a case where scientific monitoring is absent, the responsible managers and officials can always get away by pointing fingers at other sections of their own department, or at other departments that are being waited upon – never owning up to the debilitating effects on society when public service departments do not deliver. In my recommendations of the next chapter I will suggest logical ways to overcome these critical problems.

The one sure thing that will have to take place in DPW's land provision programme– when annual deadlines actually have been agreed on and put in place by the Ministers and top management – is that monitoring of progress with each individual important land project must be done electronically, in real-time. Here it will serve DPW well to consult experts in regard to the 'management cockpit' model of the Belgian Employment Bureau in Brussels.

#### 5.4 THE POLICY IMPLEMENTATION MONITOR: APPLIED

Additional challenges and potential improvement in current land provision implementation at DPW can be demonstrated through application of the PIM as suggested in Chapter 3.

**TABLE 8: POLICY IMPLEMENTATION MONITOR (PIM)**

<i>Project name</i>	<i>Project goals</i>	<i>Official mandate to execute project (+ date)</i>	<i>Budget approvals in place</i>	<i>Project manager (with mandate to execute)</i>	<i>Current status</i>	<i>Quarterly/monthly milestones</i>

**Project name:** erven to be acquired by DPW are indeed described in current DPW planning documents, mostly in terms of erf numbers and related descriptions.

**Project goals:** the annual operational plan of DPW does not indicate clear project targets, e.g. to acquire a specific erf by a certain time.

DPW has **official mandates** to acquire land, as specified in the budget documents and other planning documents. However, strong mandates such as approved Cabinet instructions, or legally enforceable instructions from DOH to acquire land, or official, written annual agreements, are generally not in place.

**Budget approvals** are not problematic, although it is evident that the DPW budget for land acquisition falls far short of what has to be purchased. This uncertainty in budgeting is usually overcome by additional motivations to the DPW Budget Office or to Provincial Treasury, when a situation arises where the DPW land acquisition budget is insufficient.

The lack of clearly identified **project managers** responsible to acquire specific erven is a serious shortcoming in land provision implementation. At present it can be stated that all delays with land provision can easily be placed at the door of the Manager of Acquisitions of DPW, Deputy Director

Ms Rene Koeries. Such an assumption and allegation will, however, be unfair, since the more senior managers in line (Adv Maytham – Senior Manager: Property Development; Mr Joey Pillay – Chief Director: Property Management) are also accountable for land provision. The point is that each erf to be acquired should be allocated to a specific official or manager, so that lack of progress (or fast progress) can be ascribed to an identifiable person. The annual implementation plan of DPW does not clearly indicate this person.

The current status of projects – the progress with land acquisitions – is mentioned in the annual operational plan, but it is not clear what the quarterly **milestones** are, and whether they are achieved.

## **5.5 CASE STUDIES SHED MORE LIGHT ON PROGRAMME IMPLEMENTATION**

### **5.5.1 Introduction and background**

The researcher has chosen two case studies to demonstrate some of the practical implementation challenges experienced in DPW processes and progress. These cases will also practically demonstrate the importance of improved management information systems, monitoring, and accountable project management. Please note that this is not a comprehensive case study research exercise with case study methodologies, but simply shining a light on implementation practice *per se*. The implementation of these two challenging high-priority projects (community health centre in Du Noon, Milnerton, Cape Town and district hospital in Mossel Bay) will be concisely described and critically analysed. These projects are current priorities for DPW and DOH (Cunningham, 2010).

Du Noon is a township area in Milnerton, Cape Town (thus urban context), where a community health centre is urgently needed in the poverty-stricken community. More than a year ago the Mayor of Cape Town visited this community and promised that community health facilities will be constructed. DPW must provide the land, and DOH must provide the budget for the community health centre. DPW has in October 2010 been in the process of acquiring land owned by the National Department of Public Works. Ms Koeries of DPW indicated (Koeries, 2010) that DPW made an offer for the land, but no decision has been made by the national department yet. She also indicated that the national department is interested in a land swop – they are interested in a high-value DPW property situated in Phillipi, Cape Town, in exchange for their erf at Du Noon. It is not clear how this will be resolved. Ministerial intervention is needed.

Mossel Bay is in the rural region of the Southern Cape, where the municipality has for many years been approached by DPW to acquire land for a new district hospital, but the transaction has still not taken place (Cunninghame, 2010). An interview by the researcher with Ms Koeries in October 2010 indicated that there still was no decision (then) by the municipality to sell land to DPW (Koeries, 2010).

### 5.5.2 The Du Noon project: Questionnaire response and Analysis

Below follows the DPW response to the Du Noon questionnaire, complemented by the researcher's critical analysis.

**TABLE 9: DU NOON QUESTIONNAIRE TO DPW  
response received July/Aug 2010**

Notes:

- If a need for brief description to answer the question, kindly provide that in the space below the question, OR attach in a separate file.
- Your cooperation is highly appreciated.
- Your responses will be acknowledged in the thesis.

#### DU NOON COMMUNITY HEALTH CENTRE PROJECT

QUESTION	INFO REQUIRED	YES	NO
<b>a) Current status – decisions obtained:</b>			
Has this project formally been accepted by the provincial government (Department of Public Works; Department of Health) as a priority?		<i>Yes</i>	
Has the relevant municipal authority formally made decisions to approve the alienation of the required land, including indicating the process forward as well as the accountable public service manager who is responsible?			<i>No</i>
<i>The land identified belongs to the National Dept of Public Works</i>			
If applicable: has the relevant national government public works authority formally made decisions to approve the alienation of the			<i>No</i>

required land, including indicating the process forward as well as the accountable public service manager who is responsible?			
<i>NDPW has acknowledged receipt of the request and has given right of access for planning and is taking it through their disposal process. Other approvals not in place yet</i>			
If applicable: If a land swap or other more complex property transaction is taking place in the case of this project, will this influence the time frame for delivery of the facility to the community?			<b>No</b>
How?			
<i>No land swap being considered</i>			
Have all the primary relevant role players made formally documented and legally enforceable decisions to proceed with the project?			<b>No</b>
Who are the public managers accountable to obtain these decisions?			
<i>Approval to acquire land at a value of R10million must be obtained from Provincial Cabinet NDPW MEC must give approval for disposal of property.</i>			
<b>b) Implementing agent &amp; Mandates:</b>			
Is provincial Public Works Department responsible to acquire the land for the project?		<b>Yes</b>	
Has this Department received a formal official instruction (mandate) from the provincial Health Department to proceed with the acquisition of the land?		<b>Yes</b>	
When was this instruction received by provincial Public Works Department?			
Which public entity is in the final analysis constitutionally obligated to provide the public health facility to society? Who is the public official ultimately accountable and responsible for release of the required land within the specified time frame?	<i>Dept of Health. Land to be acquired from NDPW and Minister must approve alienation</i>		

Who ultimately are the accountable public representative (politician) and public official bureaucrat (public manager) at municipal level responsible to facilitate transfer of the municipal land/erf to the provincial government Department of Public Works?			
<b>c) Time frame &amp; Budgets</b>			
Since which year has the provincial Department of Public Works been approaching the NDPW for land for this health facility?	<i>June 2009</i>		
From which department's budget will construction of the envisaged health facility be funded?	<i>Health</i>		
Have these budgets been approved, and are these funds available for spending within the planned time frames?	<i>DOH will have the answer to that</i>		
In which year will construction of the facility start?	<i>Preferably 2011/12</i>		
<b>d) Details of land required for health facility</b>			
What are the details of the erf/site to be acquired in order to construct the envisaged health facility - erf nr, size, zoning status, ownership?	<i>Farm 236 Potsdam Cape RD, 4ha in extent.</i>		
<b>e) Project Management</b>			
What are the steps to be followed henceforth (from 01 June 2010) that will finalise the process to transfer the land to the appropriate authority (provincial Public Works)? What is the time frame agreed to by all the role players? Who will drive the project forward as Project Manager?	<i>No timeframes set. Acquisition driven by Property Management: Property Development: Acquisitions component</i>		
<i>Valuation has been done of the property and waiting on NDPW to advise if they accept the price offered. Steps to be followed: look at acquisition processes attached. No 7: Purchases</i>			

### 5.5.3 Comment and Analysis: Du Noon Community Health Centre Project

5.5.3.1 The date of the DOH instruction to DPW to acquire land is not provided in the response. This information is important, because there should be logical steps to be implemented from that date, to be monitored monthly and quarterly.

5.5.3.2 The following extract from the questionnaire response tells an important story.

In which year must the land purchase be finalised (transfer)?	<b><i>Preferably 2010/11, subject to availability of funds and NDPW finalising its disposal process</i></b>
In which year will construction of the facility start?	<b><i>Preferably 2011/12</i></b>

In order to manage the land provision programme properly, all the stakeholders involved (especially DPW and DOH, but in this case also National DPW) must agree on the most senior level possible – e.g. Chief Director – as to in which year they want to see construction of the health facility start, so that the land can be acquired in the foregoing year. From the response, it is evident that this type of agreement, and clarity, is not in place at all.

5.5.3.3 The following extract from the questionnaire response reveals important information about project management and time frames. It actually speaks for itself. “No time frames set.” It is also telling that the name of the project manager is not given: is it Ms Koeries, or her senior Adv Maytham, or his senior Chief Director Pillay? Or maybe someone from DOH?

What are the steps to be followed henceforth (from 01 june 2010) that will finalise the process to transfer the land to the appropriate authority (provincial Public Works)? What is the time frame agreed to by all the role players? Who will drive the project forward as Project Manager?	<b><i>No timeframes set. Acquisition driven by Property Management: Property Development: Acquisitions component</i></b>
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#### 5.5.4 The Mossel Bay project: Questionnaire response and analysis

Below follows the DPW response to the Mossel Bay questionnaire, complemented by the researcher's critical analysis.

**TABLE 10: MOSSEL BAY QUESTIONNAIRE TO DPW**  
**Response received July/Aug 2010**

QUESTION	INFO REQUIRED	YES	NO
<b>a) Current status – decisions obtained:</b>			
Has this project formally been accepted by the provincial government (Department of Public Works; Department of Health) as a priority?		<i>Yes</i>	
Has the relevant municipal authority formally made decisions to approve the alienation of the required land, including indicating the process forward as well as the accountable public service manager who is responsible?			<i>No</i>
If applicable: has the relevant national government public works authority formally made decisions to approve the alienation of the required land, including indicating the process forward as well as the accountable public service manager who is responsible?			
If applicable: If a land swop or other more complex property transaction is taking place in the case of this project, will this influence the time frame for delivery of the facility to the community?			<i>No</i>
How?			
<i>Not being considered</i>			
Have all the primary relevant role players made formally documented and legally enforceable decisions to proceed with the project?			
Who are the public managers accountable to obtain these decisions?			
<i>Dept of Health gives instruction to acquire, DTPW proceeds</i>			



<i>with acquisition and municipality approves disposal</i>			
<b>b) Implementing agent &amp; Mandates:</b>			
Is provincial Public Works Department responsible to acquire the land for the project?		<b>Yes</b>	
Has this Department received a formal official instruction (mandate) from the provincial Health Department to proceed with the acquisition of the land?		<b>Yes</b>	
When was this instruction received by provincial Public Works Department?			
Which public entity is in the final analysis constitutionally obligated to provide the public health facility to society? Who is the public official ultimately accountable and responsible for release of the required land within the specified time frame?	<b>Provincial Dept of Health</b>		
Who ultimately are the accountable public representative (politician) and public official bureaucrat (public manager) at municipal level responsible to facilitate transfer of the municipal land/erf to the provincial government Department of Public Works?	<b>Council approves disposal and Municipal Manager signs transfer agreement</b>		
<b>c) Time frame &amp; Budgets</b>			
Since which year has the provincial Department of Public Works been approaching the municipality for land for this health facility?	<b>2006</b>		
<b><i>DPTW has been looking for land since June 2006 but a decision on the particular site to be applied for was taken by DoH in May 2010</i></b>			
From which department's budget will construction of the envisaged health facility be funded?	<b>Provincial Dept of Health</b>		
Have these budgets been approved, and are these funds available for spending within the planned time frames?	<b><i>I don't know for which year the construction is budgeted</i></b>		
In which year must the land purchase be finalised (transfer)?	<b>Preferably 2011/12</b>		

In which year will construction of the facility start?	<i>Don't know</i>		
<b>d) Details of land required for health facility</b>			
What are the details of the erf/site to be acquired in order to construct the envisaged health facility – erf nr, size, zoning status, ownership?	<i>Ptn of erf 19201 mosselbay approx 5ha. Owner: Mosselbay Mun</i>		
<b>e) Project Management</b>			
What are the steps to be followed henceforth (from 01 june 2010) that will finalise the process to transfer the land to the appropriate authority (provincial Public Works)? What is the time frame agreed to by all the role players? Who will drive the project forward as Project Manager?	<i>See attached generic acquisition processes. No timeframes set. Acquisitions driven by Prop Man: Property Development acquisition component</i>		
<i>Application made to Mun to acquire the land. Waiting on a response with respect to terms and conditions and price.</i>			

### 5.5.5 Comment and Analysis: Mossel Bay District Hospital Project

The second questionnaire is about the need for land for a new district hospital in Mossel Bay (southern rural region of Western Cape Province). Analysis of the response to the questionnaire results in the following findings and conclusions.

5.5.5.1 No answer is given to when the instruction was received from DOH. It is however known that DPW has been liaising with Mossel Bay Municipality for a number of years about the very same issue, namely to purchase land from this municipality for a new district hospital. Is there a competency problem within one or both of these government entities (DPW and the municipality)? Is there lack of will to execute the project? Can DOH enforce its constitutional mandate by directly approaching the Premier of the Province and provincial Cabinet about the dragging of feet on this matter? The researcher would answer yes to all three questions.

5.5.5.2 Once again, it is not answered who the accountable official is. If a finger must be pointed as a result of non-delivery of health facilities in especially poverty-stricken communities, who must that finger be pointed at? At the Premier of the Western Cape Province? Answers to these questions will have to be found by the Premier and Minister Carlisle themselves, when they look at the findings and recommendations of this research study. Where no time frames are indicated/utilised, the causes of non-delivery always are more problematic to prove, of course.

5.5.5.3 If we look at the extract below, questions arise: has it taken four years for DOH to express their view on which site DPW should apply for? So, for four years DPW presented DOH with various land options, and then after four years DOH ‘decided’ which site is more suitable. Why was this decision not taken after, say, one year of investigations by DPW, but only after four years? The researcher is of the view that the decision about which site is the most appropriate could have been jointly agreed to by DPW, DOH and the municipality involved – but at the top public management level. What happens if after four years the DOH ‘decides’, and then the municipality says ‘sorry we don’t want to sell that site’?

Since which year has the provincial Department of Public Works been approaching the municipality for land for this health facility?	<b>2006</b>
<i>DPTW has been looking for land since June 2006 but a decision on the particular site to be applied for was taken by DoH in May 2010</i>	

5.5.5.4 More questions that simply beg to be answered are these: has the municipality in principle agreed to sell any land to DPW, at this stage (2010)? What size? Have there been any reports to their Council to facilitate the issue further? What is the current status of the project?

5.5.5.4 How can any DPW manager or official be committed and excited to deliver a project on time if it is not known in which actual financial year construction of the facility must start? See below:

In which year must the land purchase be finalised (transfer)?	<b><i>Preferably 2011/12</i></b>
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How can a land provision project be managed if there are ‘no time frames’?

5.5.5.5 The questions below, regarding the struggling Mossel Bay project, still remain to be properly answered. The researcher found the answers to be either ‘Not known’ or ‘No’ – a fact that should have any public manager involved with the project hang his/her head in shame.

Erf detail correct? Which erf has been agreed on by the municipality and DPW?

When will the municipality make a Council decision on the matter? When does the DPW expect any response?

Is there agreement amongst the municipality, DOH and DPW regarding the most suitable erf, and as to the manner to proceed?

### 5.5.6 Conclusion

While delays with government's delivery of dearly needed public goods and services sometimes are political in nature, the solutions to these matters often are political too. Unfortunately, in the researcher's experience, the vulnerable communities that must wait for the delayed facilities carry the heavy costs of political and administrative delays, right down to their (already difficult) affected daily lives.

## 5.6 FINAL FINDINGS REGARDING DPW LAND PROVISION IMPLEMENTATION

The following findings and assessment can be reported:

- It is obvious that DPW pursues land acquisition projects either without the mandate of the provincial Cabinet, or does not strategically utilise the importance/imperative of constitutionally enforceable state functions. In other words, it will not be necessary to struggle for seven years to obtain municipal land to build a state district hospital, if DPW has shown the project to be an enforceable constitutional and provincial Cabinet imperative. Delivery of state health facilities is an obligation to society of the **South African national government**, to add even more weight to the matter.
- Political influence is not utilised to unblock bottle-neck situations in the delivery of critical public goods and services. (Case in point: Mossel Bay District Hospital Project)
- The land acquisition actions of DPW are not in line with any agreed programme of annual priorities to be fulfilled by DOH. The annual operational plan of DPW is not a useful instrument, since it is not linked to enforceable targets and time frames.
- The land provision programme of DPW is functional, generally, but is not at all being managed effectively – no measurable goals can be monitored per annum.
- The methodologies utilised by DPW are 'old school' – but in a negative sense. Project management approaches and methods are not employed; neither is effective real-time electronic monitoring of project progress taking place.

- The two departments (DPW and DOH) are working in ‘silo’s’ – there is no consensus (contract) on what they want to achieve by what dates. In order to have successful implementation, the two departments have to drive the programme jointly to deliver new state health facilities. Currently the cooperation is disjointed, as is clear from the lack of a formal agreement for delivery of priorities, and the frustrations expressed with delays in land provision, and with the ‘monitoring meetings’ of the two departments.
- Lack of unity in approach and preferred models to be employed per project, leads to a situation where decisions are delayed and focus on timely delivery is compromised.
- It has been indicated that the DPW annual operational plan is flawed, especially with regard to annual targets for delivery. Priorities and budgets are simply rolled over to the next year, and then the next. No proper monitoring is taking place.
- It has been found that there is a lack of cooperative agreement at the top executive level, not only between DPW and DOH, but also in cooperation with municipalities, e.g. the cases of Mossel Bay and Du Noon.
- Delays in DPW’s provision of required land are experienced by DOH.

The researcher will, in a structured manner, suggest solutions to most of these problems in his recommendations, Chapter 6.

## **5.7 CONCLUSION**

In this chapter the researcher first provided the current approach of the RSA National Government to policy implementation, as context. Changing implementation methods and cutting bureaucratic red tape to enable faster delivery is at the top of the agenda.

Subsequently the researcher generally described, analysed and assessed DPW’s land provision implementation. Two important current priority land projects have been researched as case studies. Some of the findings can only be described as shocking.

The researcher found a total lack of implementable annual targets and time frames in the implementation strategy of DPW. The general functioning of the land provision programme is haphazard and a bad example of bureaucratic red tape, time wasting and un-intellectual vague efforts to achieve the unachievable.

The land provision programme is understaffed, and lacks project management expertise. Without proper managerial direction the programme is a rudderless ship. When the researcher applied the

PIM of Chapter 3, it was found that the land provision programme's implementation is basically impossible to monitor.

In the next chapter the researcher will provide a final conclusion and policy recommendations, based on application of the theoretical principles and models for effective policy programmes (Chapters 2 and 3) to the policy documents and implementation (Chapters 4 and 5) of the DPW land provision programme.

## CHAPTER 6

### CONCLUSIONS AND POLICY RECOMMENDATIONS

#### 6.1 INTRODUCTION

The recommendations of this thesis will be made available to the following public representatives and officials:

- The Western Cape Minister of Transport & Public Works.
- The Heads of DPW and DOH departments, and their Chief Directors responsible to have new state health facilities in the province constructed.
- Other managers directly involved with these governance and administrative processes.

Application of the recommendations is at the discretion of the involved political and civil service leaders and managers. It is important to note that the recommendations are not meant as negative criticism, but can be seen as an independent and objective perspective on policies and operations. In that sense, critically engaging with the recommendations must not be seen as just an additional work load for the already busy public manager, but as an opportunity to obtain some distance from the work he/she is busy with, and – possibly – make a few changes to policies and operations that will, in fact, make the work more rewarding, meaningful and satisfying.

In a certain sense the recommendations will however force the public manager and official to rethink an answer to the important questions: How is my work having a concrete impact to address the serious needs in the community? How does my day-to-day work provide more human dignity in communities, families, and individuals? The answer to these questions can produce a sense of meaning, pride and patriotism – but can also produce a **decision** to introduce some changes into land provision policies and their implementation. It is always in executing the decision, in implementation, that the major challenge lies, not in the decision itself. And when failure to execute arises – as part of the sometimes daunting challenge which is life as such – it is persisting, learning from mistakes, but persisting with greater determination than ever before.

In the final analysis the DPW Minister and Head of Department will have to decide whether or not they will consider implementation of some or all of these recommendations, probably after having afforded the opportunity to selected managers to brainstorm these matters at a high-level work session. Without critical participatory discussion of the recommendations and a distillation of a DPW tailor-fit set of policy solutions, any changes made to policies and to implementation methods will not have the support which is a *sine-qua-non* for success.

The recommendations, importantly, must also contribute to the body of scientific knowledge produced by academic institutions. The entire thesis is, after approval, made available to other scholars and students, nationally and internationally, and constitutes a contribution to intellectual property.

## 6.2 GENERAL CONCLUSIONS AND CHAPTER-BASED RECOMMENDATIONS

A number of general conclusions will first be drawn, followed by more detailed recommendations based on the thesis chapters. These conclusions capture what was done in the previous chapters of the thesis, in order to place the researcher's policy recommendations in context:

- Chapter 1 provided an introduction, with reference to the main research question and related questions.
- In Chapter 2 important theory on policy evaluation was presented, and a Policy Documentation Template (PDT) was developed, constituting a checklist for determining whether the essential principles and elements for effective public policy documents are contained in such documents.
- In Chapter 3, important selected sections of the existing conceptual/theoretical body of knowledge on policy implementation were explored and analysed by the researcher, leading to identification of some critical implementation principles/lessons as well as the Policy Implementation Monitor (PIM) that serves as another logframe-type checklist to ensure that implementation is effective.
- In Chapter 4 the DPW's set of policy documentation related to land provision for new state health facilities was studied, described, analysed, and compared with the PDT.
- In Chapter 5 the implementation of these policy documents were described, and critical comments were documented. The PIM and lessons learnt from policy implementation theory have been applied to DPW's implementation practice.

### 6.2.1 Overall findings and general recommendations of study

#### 6.2.1.1 Answering the main research question:

*How does the Provincial Department of Transport & Public Works's (DPW) policy programme regarding land provision affect land release for new state health facilities in the Western Cape Province?*

***Conclusion: Ineffective land release by DPW negatively impacts on the provincial government programme to construct new state health facilities in the Western Cape. (Basis for conclusion:***



*incomplete land provision policy documentation, as found in Chapter 4; ineffective land provision policy implementation, as found in Chapter 5.)*

#### **6.2.1.2 Furthermore, it is recommended that:**

- The DPW policy programme regarding land provision will have to be changed in order to produce effective policy documents, and to ensure successful implementation. The specifics of these suggested changes will be described later in this chapter. Effecting these changes will have a positive effect on the release of land for the construction of new state health facilities, as the dependent research variable in this study.
- An all-important pre-condition for improved new state health facility delivery in the Western Cape is drastically improved co-operation in this regard between DPW and DOH. The fact that the Provincial Department of Health (DOH) carries the constitutional mandate to establish these facilities, with DPW performing a vital supportive agency function, does not absolve any of the two departments from the responsibility to make delivery work, jointly.

#### **6.2.1.3 Answers to the research questions (as stated in Chapter 1) related to the above-mentioned main research question are, in brief:**

- Is the required policy programme in place at the DPW?  
A policy programme is in place; but shortcomings exist both in the policy documentation and in implementation.
- How does DPW practically go about delivering the necessary (requested) land for new state health facilities?  
This question was answered in Chapter 5. In essence the land acquisition section of DPW must purchase the required land.
- How is the delivery of land for new facilities measured and monitored?  
This was discussed in detail in Chapter 5. It was found that effective monitoring of the land provision programme is impossible, since no fixed and clear land delivery targets, per annum, exist.
- Is the policy programme executed successfully, in general terms?  
The policy programme is executed, but not successfully. It is failing.

#### **6.2.2 Chapter-by-chapter summarised findings and recommendations**

##### ***Chapter 2 – Policy evaluation theory***

Chapter 2 produced the Policy Documentation Template (PDT), an instrument that can be applied constructively by any government department or civil service institution in order to improve the

quality and viability of their policy programme documentation, as well as – more importantly – the implementation of the policies. The final test is in the doing, in the implementation, not in the writing, talking, or thinking.

### ***Chapter 3 – Policy implementation theory***

Chapter 3 produced specific lessons for successful implementation, as well as the Policy Implementation Monitor (PIM).

The following approaches and steps are recommended to DPW:

- Improved project management is indeed a vast challenge in public administration in South Africa, and it must be understood that project management in government context cannot be successful without cross-cutting approaches and proper mandates. Single point accountability will certainly enhance effective policy implementation – when projects fail it must be possible to point a finger at a specific individual, the project champion. The same applies when successes must be celebrated.

The essence of project management remains about mandates, concrete goals, appropriate resources (including skills to manage projects), strict time frames, and real-time monitoring. Single point project managers who are properly mandated to execute a project and can operate in a cross-cutting manner across the boundaries between government departments and other organisations, can considerably enhance government's effectiveness with policy implementation, not only in the land provision programme, but all-over.

- Written and other media should be utilised to share implementation successes and inspire staff members and managers. Furthermore, it is always important for a government to communicate messages of hope, inspiration and pride to the individuals in society.
- Resources such as credibility, innovative/valuable ideas, and the ability to negotiate/persuade should be given more attention by public managers and political representatives. Experts, such as management consultants, must sometimes simply be bought in by the government to add impetus and capacity towards effective implementation.
- The Policy Implementation Monitor (PIM) has been developed by the researcher as an instrument to ensure that the most fundamental principles and elements ascribed to effective policy implementation from the theory and conceptual discussions that were presented in Chapter 3 are followed. The PIM is not a detailed framework, but a monitoring tool that

highlights the essential elements without which effective policy programme implementation is impossible.

It is recommended that DPW utilises the PIM in its monitoring process.

#### **POLICY IMPLEMENTATION MONITOR (PIM)**

<i>Project name</i>	<i>Project goals</i>	<i>Official mandate to execute project (+ date)</i>	<i>Budget approvals in place</i>	<i>Project manager (with mandate to execute)</i>	<i>Current status</i>	<i>Quarterly/monthly milestones</i>

#### **Chapter 4 – Policy documentation evaluated**

##### **Recommendations:**

- In the first place it is recommended that DPW improve the set of land provision policy documentation as suggested in Chapter 4, where the PDT was applied by the researcher. It is recommended that DPW formally consider to implement the changes to the land provision policy documentation as suggested in the application of the PDT and implied by other related recommendations in Chapter 6.
- It was noted in the DPW Strategic Plan that the department is considering a review of an Act, a White Paper, and certain policies. Policy changes as a result of such a review may impact on land provision. It is recommended that DPW decide when such review will be performed, and by whom. In addition, it is recommended that when those legislative and policy reviews are done, the recommendations of this thesis also be considered.
- Measurement of the relevant DPW policy documentation against the Policy Documentation Template (PDT) - to determine whether these documents contain the most important elements, principles and characteristics that must be present in effective public policy documents - revealed that we must especially recommend as follows:
  - Although mention is made of the need to leverage the provincial government's property portfolio to generate new income streams for DPW, and it is mentioned in the Strategic Plan that innovative property management models need to be explored, the policy documents lack information as to how this quest will be

taken forward. It is thus recommended that a person/entity to spearhead this action be appointed. This task can possibly be included in the work of a potential ‘policy think tank’ for the department.

- Although excellent information is provided in the policy documents regarding the consultative processes followed in policy formulation, very little is said about how policy reviews and changes can be introduced in future, and by which body. It is thus recommended that the Minister establish a policy think tank for DPW, to act as policy makers regarding land provision and related matters, such as (updating) the departmental asset register. Progressive and active policy development, including adjustment to implementation methods and monitoring, need to take place.
- Although institutional and organisational arrangements are properly described in the policy documents, little mention is made of the critical stakeholders and partners with whom DPW must cooperate to enable effective land provision on time.
- It is recommended that the status of DOH as a health facility programme partner be raised considerably, and that the content of such a partnership be captured in a **Health Facility Partnership Contract (HFPC)**. The HFPC will thus contain some stipulations on the nature, scope and functioning of the partnership, and will contain the priority facilities to be started per annum – in other words, in which year will construction of which new health facilities start, and the deadlines for land provision for such projects.
- It is not sufficient that the overall policy objectives of DPW are clear in the policy documents. It is recommended (as stated above) that the concrete annual outputs of the policy programme be written into the HFPC, and that the status of this document be optimally elevated, by Cabinet approval thereof. The HFPC will be the policy documentation link that can complete the currently defective land provision policies. The HFPC can also serve as an annual operational plan, indicating annual deliverables, mandates, budget approvals, milestones, and accountable officials/managers. Should DPW decide to introduce the HFPC, the largest challenge will not be in its establishment and content, but in its vigorous implementation, and the monitoring thereof.
- It is recommended that the Policy Documentation Template be applied in future DPW policy development.
- It is formally recommended that the serious shortcomings in the current land provision policy documentation be corrected by means of introducing the HFPC, since the

shortcomings are in effect substantially restricting factor the delivery of essential public goods to society.

### ***Chapter 5 – Policy implementation evaluated***

#### **Recommendations:**

- The most important recommendation to be made in this section is that implementation of the land provision programme must be rid of unproductive bureaucratic practices, and be accelerated. It is indeed not only desirable and imperative but also possible for the government – for individuals, that is – to work harder, smarter and especially faster. By doing so the communities that really are dependent on government health facilities and services will be helped tremendously.

- **Human Resources**

It is recommended that DPW addresses the human resource challenges (indicated below) in the programme within the shortest possible period of time. A person dedicated to monitoring this intervention probably needs to be identified. To expedite solutions, contract and consultant appointments can be considered. Challenges to be addressed are:

- Staff appointment in the DPW land provision programme is not sufficient.
- Sufficient programme management for the land provision programme is in place, but a lack of project managers is evident, especially project managers with sophisticated cross-cutting skills.
- The Land Acquisition Section has no clerical and administrative staff at present.
- No consultants and technical experts are currently utilised.
- No specialist expertise is contracted to develop and manage complex business cases and introduce innovative models for provincial infrastructure and property management. According to the Strategic Plan (p. 39-41) DPW has limited skills at hand to deal with complex administrative and governance matters. The Strategic Plan mentions ‘increases in technical support personnel to respond to upward adjustment of capital and maintenance provisions vested on the budgets of clients departments, e.g. health and education.’
- Capacity gaps exist in professional and technical career paths. It is acknowledged by DPW that permanent capacity must be developed in this regard.

- **Financial Resources**

It is recommended that additional resources be allocated by DPW to address the human resource and capacity problems related to land provision. Furthermore, the current capital

provision to purchase land for new state health facilities is totally insufficient (R3,8M in 2010/2011 financial year) – this matter will have to be addressed by provincial Cabinet.

- Innovative asset management models

It is recommended that, as indicated in the Strategic Plan, innovative and alternative methods of ‘resourcing priority programmes, such as the leveraging of the property portfolio to generate new revenue streams’, be actively pursued. The fastest way to deal with these matters will be the appointment of experts on contract or as consultants. Furthermore, the following opportunities evident from current Cape Town Partnership initiatives and from the interviews with Cunninghame and Pillay (Chapters 4 and 5) need to be attended to by DPW:

- Opportunities exist in the Cape Town inner city regeneration initiative, with stakeholders such as the City Government, Transnet, and the Cape Town Partnership. These opportunities can be exploited to the benefit of DPW, but only if sufficient human resources are contracted/allocated to attend to the matter.
  - Also in other parts of Cape Town City some exciting property development opportunities exist, such as with the surplus land at Stikland Hospital. Creative property management models can unlock considerable value for everyone involved, and address the increasing metropolitan population’s need for quality health facilities and services. The possible alienation of the Woodstock and Robbie Nurock Hospital buildings are further cases in point (also inner city).
  - In the rural regions of the Western Cape Province additional opportunities exist, such as with the possible alienation of the old Mossel Bay state hospital in order to leverage a new district hospital on suitable municipal land. Many municipalities in the rural regions of the province are not aware and knowledgeable regarding the value that can be unlocked by releasing municipal erven for development, or shy away from local economic development for selfish and/or narrow political agendas.
  - Innovative additional resourcing for DPW via leveraging its own property portfolio has boundless potential, but turning such ideas and initiatives into concrete results will require the appointment of dedicated asset management project managers/facilitators and experts (as mentioned above). Such experts will have to understand the formation and operation of partnerships with the private sector.
- The Property Management Chief Directorate in DPW will in future increasingly have to:
    - Purchase vacant land
    - Determine optimal use of existing government buildings and land
    - Investigate suitable economical models, e.g. leasing vis-à-vis constructing own buildings

- Implement innovative property development models
- Facilitate new policy decisions that encompass the bigger picture

It is thus recommended that the creation of a policy think tank in the Office of the DPW Minister be seriously considered, in order to drive and enable the realisation of higher-order asset management implementation by DPW.

In the above-mentioned regard please note the following extract from Chapter 5:

*The Annual Performance Plan does not indicate from which budget the needed specialist support to develop complex business cases and property management strategies/implementation plans will be funded, and whether expert consultants or contract positions is the Department's preferred route. The need for additional financial resources for DPW and the strategy of leveraging the central city property portfolio in this regard is mentioned, but it is not clear when the new models will be developed, and by who. Without added expertise/capacity, DPW will not be able to increase its income streams and impact.*

### **6.3 SPECIFIC ISSUE-BASED RECOMMENDATIONS**

The following are more detailed and specific recommendations. There may be similarities to or repetition of the previous section of this chapter, but in such cases that serves to accentuate a point. On the other hand, the following recommendations highlight a number of critical areas that require the direct attention of the DPW Minister.

#### **6.3.1 Political intervention and Head of Department/Cabinet's role**

Political intervention – such as by Provincial Ministers, National Ministers and Town Councillors – must be made use of immediately, positively and strategically when the most senior public managers cannot agree on how to resolve a service delivery matter. Hence, it is of utmost importance that the DPW Minister must know exactly which critical new state health facilities' construction must commence annually, and the land provision implications for his department. The Minister can probably only be effectively cognisant of these priority projects if he has at provincial Cabinet level agreed and contracted (the HFPC) with the DOH Minister on these priorities.

Delivery of new state health facilities cannot possibly be implemented by the DPW or DOH Ministers each operating on their own – they must cooperate, and it is firmly recommended that this cooperation be formalised by 'contract' (the HFPC). The Heads of Department should therefore be

instructed by their Ministers to sign such a joint memorandum of agreement annually, which will also confirm the priority health facility projects to be started, per year.

Such an HFPC must be provincial Cabinet-approved, annually, and be distributed to all involved managers and officials. The full understanding and buy-in of all the managers and officials must be obtained by establishing the HFPC in a participatory manner. It must be known that this is an important partnership between the two departments – petty politics and turf battles must cease in order to jointly deliver the required facilities to society.

**I must repeat:** It must be known a few years in advance – and cast-in-stone – in which financial year the actual construction of a certain health facility must start (as budgeted), so that the land acquisition processes can be completed by DPW as critical partner of DOH, in time.

### **6.3.2 A new project champion: the HFPC**

The thorny issue of who is actually accountable and responsible to deliver new health facilities and by implication the land required, and who should be the ‘project champion’ (DPW or DOH) when a facility must be delivered, will be resolved if the concept of the HFPC is accepted and applied by the Ministers and relevant public managers. The ‘partnership’ will then be the owner and manager of this important government programme, under the patronage of the provincial Cabinet. By implication the DPW and DOH Heads of Department will be responsible that the agreed land and facility targets are met.

Effective implementation of a HFPC will overcome the problems captured in Chapter 5, where it was said:

*Solutions to the problem of unsatisfactory stakeholder cooperation (especially with client departments) are not suggested in the APP – it is only mentioned that the current cooperation is ineffective, inefficient, uneconomical, and impacting negatively on property management.*

Key to having a successful partnership is political in nature: that the two political leaders (Ministers) find each other on the matter of successful delivery of new facilities. The questions about who controls what, who is asset custodian and who is asset user, the inevitable power contestations of the political arena – all these complexities fade in importance when the bright light of a contract for delivery is shining, when two powerful forces (DPW and DOH) agree to let their synergy increase their societal influence, not only in the Western Cape but in South Africa as a whole.



If DPW decides to pursue this formal agreement with DOH – on annual priorities to be achieved, also indicating in which years construction of which facilities must commence – one of the first effects will be that the regular dysfunctional progress meeting of the two departments, on progress with land acquisition, can be cancelled. This meeting currently seems impotent and senseless, since DOH apparently views it as forum to make decisions on policy implementation matters, while DPW seems to regard it as plainly a monitoring forum without much status. Furthermore, no binding decisions can be made or legal instructions be issued by this meeting. It is just a discussion – of which there are plenty in government circles already.

If a new partnership and the HFPC is put in place, the two Heads of Department with the two responsible Chief Directors (of DPW and DOH) can simply have a two hour monthly meeting to ensure their managers and officials are on track with implementation of the priorities as per contract.

Although there are various planning documents as well as the approved budget document that indicate which projects must be taken forward, the researcher could not find a document at DPW that captures the five or ten key land provision priority projects per annum, as agreed between the two involved departments. We also know that *budgets are also linked to time frames and financial years and financial periods (e.g. three year expenditure cycles), which helps to push forward the practical delivery of services and facilities to society. However, it often happens that amounts that are not spent in a specific year are simply 'rolled over' to the next year, without any sanction applied for not spending the money within a specified period.... If policy planning is not effective, goals will not be clear, and reporting/monitoring will be problematic, resulting in unrealistic future budgets. (Chapter 4)*

### **6.3.3 Asset management policy, approaches and models**

Difficulties can come to the fore when the political leaders and top managers of two departments (DPW and DOH) that must cooperate on a certain matter, have different views on, for instance, asset management and land release approaches and models. It must be understood that in the complex area of government immovable asset management, it is not always possible to apply one approach to solve every problem. In some cases it is possible to sell off a government asset (such as an old hospital) in order to access additional capital that can be used towards acquisition of a property somewhere else. In other cases it may be prudent to alienate a portion of an under-utilised government asset (e.g. large tracts of open hospital grounds), with the condition that the successful tenderer must also erect a new health facility somewhere. Another scenario could be where the

government does not construct a hospital or clinic, but that the private sector develops state and other facilities on government land, and maintains the state facility for an extended period.

The point is, the legislation that rules government asset management is not rigid to the extent that creative models and innovation cannot be utilised. But there is no ‘one size fits all’ solution in the quest to provide new state health facilities. Differences of opinion on the best approaches and models may arise in every large facility project. The government can however not afford the luxury of endless debates about asset management approaches within and between DPW and DOH, when a priority project must get off the ground.

It is recommended, therefore, that the approach towards a specific project is determined at the same time when the annual HFPC priorities are thrashed out and agreed between the two departments, so that there is clarity and consensus on how a project will be executed. In other words, when the priorities per annum are listed, the two departments must also jointly decide on a broad framework and model to be applied in execution of the specific project. DPW as the ‘custodian’ of government assets and DOH as a ‘user’ of the asset must find each other on these issues, and if agreements on certain projects are unattainable the matter must go to provincial Cabinet, because it cannot be allowed that ideological/intellectual debates, differing approaches, and power struggles delay the delivery of health facilities to society.

#### **6.3.4 Mandates and quality decision-making**

An area where improvement is required, is in the strategic documentation of administrative communications. DPW communicates constantly with stakeholders from whom they must acquire land. Letters are written and emails sent that have little legal standing and little chance of being enforced by anyone. This situation can be relieved to a large extent when project managers and officers of DPW have a proper written mandate (such as a Cabinet-approved HFPC) to back up a project. Such a formal mandate will strengthen their hand, and also bring understanding to land owners (including municipalities) about the serious and constitutional nature of the work, and that there are time frames involved.

Proper mandates for projects and formal agreement on annual priorities for acquisition of land will also to a large extent avoid unnecessary *ad hoc* investigations by DPW into land availability. Much time and resources are wasted in many public sector asset management operations when officials spend time on research and investigations into properties/projects that have never been approved by a formal high level decision.

When decisions have to be taken – as in the case where a municipal decision to alienate its land to DPW is awaited – the important principle is that written agreements and delegations must be obtained as soon as possible at the highest managerial level possible. The same approach should apply to cases where DPW must obtain the cooperation (buy-in) of National Public Works Department. When the executive officials at the highest level cannot agree on a way forward in a specific project, the political heads of these departments must be requested to intervene, without delay.

### **6.3.5 Administrative competency**

One common excuse for slow delivery in government departments is that they cannot take a next step in the administrative process before another department/stakeholder has performed a certain activity. There are only two possible scenarios in such cases: there has been agreement on the administrative process to be followed, but it is slow because of incompetency, poor management or lack of will; or, there has not been agreement between the stakeholders, and therefore nothing is happening, because it is not clear which path forward should be followed.

It is recommended that the managers of the land provision programme investigate the real cause for a delay, especially when this excuse for poor progress is used by an official.

### **6.3.6 Solving the problems with municipalities**

DPW must often acquire vacant land from municipalities. Municipalities must go through their own legal processes to alienate land, but are in some cases delaying property transactions for years, for reasons that can vary from party politics (e.g. ANC vs. DA), lack of political will and leadership (internal party political struggles), personal politics (e.g. not wanting to create good health facilities for fear of an influx/migration of citizens/voters from the Eastern Cape Province to the Western Cape Province), office politics (power games between officials of the provincial and local government), lack of staff capacity, lack of knowledge, incompetency, or plain frivolousness and a total lack of caring about the humanness and basic needs of certain sections of the South African population. Municipalities also do not always understand how significantly the release of municipal land can enhance socio-economic development in their town or city.

Therefore, in cases where municipalities are slow to take property transaction decisions – delaying Cabinet-approved DPW priority projects – the DPW Head of Department needs to intervene by directly engaging his counterpart, the Municipal Manager, in writing and otherwise. Should the desired progress per time frame as agreed between them not be realised – or no agreement be possible – the Minister of DPW must be informed immediately, effecting political intervention.

Where no solutions have been found even after political intervention, the provincial Cabinet must perhaps consider the use of political strategies and force, including reviewing the regulatory framework related to fair expropriation of land for essential government facilities and infrastructure.

The researcher thus is of the view that, when it is clear that the provincial DOH and DPW are in the process of executing their constitutional mandate to provide state health facilities (approved by Cabinet; approved in Budget), land requests to municipalities to engage in land transactions must be driven and enforced by the provincial government by *inter alia* indicating to the municipality the documented provincial Cabinet mandates to execute these projects. Then methods and time frames to finalise the land transaction must be agreed to between DPW and the municipality. It cannot be allowed that municipalities restrict the provincial government from delivering vital public goods, by simply not cooperating.

### **6.3.7 Electronic monitoring – the Minister’s management cockpit**

It is recommended that monthly high level managerial meetings of the Heads of Department and Chief Directors of DPW and DOH – monitoring land provision and the HFPC – should make use of a real-time electronic monitoring system that will display on computer screens the progress towards land provision milestones of all the priority projects. This type of real-time electronic monitoring is used with great results in Europe, for instance in the Belgian Employment Bureau in Brussels. Real-time monitoring means that all involved with the project are constantly aware of progress – in this age, electronic tools can and should be used with great success to enhance monitoring of projects.

Software for such a monitoring system is not necessarily complicated or expensive. Expertise will be required to establish the management cockpit though, should the DPW Minister decide to institute this higher-order system.

Monitoring and evaluation of the HFPC – if introduced – can easily take place by the Ministers of DPW and DOH, because measurable targets per annum will be clear, and quarterly milestones will be indicated. It however needs to be emphasised once again that any monitoring system, no matter how sophisticated, will be seriously compromised if there are no clear annual targets and quarterly milestones to be monitored.

Finally, it must be remembered that effective policy monitoring and evaluation obviously play a large part in adjustment or re-design of policies, and in finding more effective methods of implementation.

### **6.3.8 Sanctions by the Western Cape Premier**

Should the HFPC be introduced by the DPW Minister, in a partnership with DOH, an additional benefit will be that the Minister and the Premier of the Western Cape will be able to discipline public managers and apply sanctions for lack of performance when targets are not reached. In government service a lack of performance borders on criminality: the health and very lives of citizens are at stake.

## **6.4 STRATEGIC POLITICAL RECOMMENDATIONS**

The DPW Minister should consider consultations on and possible subsequent implementation of the following steps:

**6.4.1** To appoint a policy think tank (group of independent expert professional individuals) with these tasks:

- Facilitate the establishment of a Health Facilities Partnership Contract (HFPC) between DPW and DOH within a practical time frame.
- Ensure that the HFPC contains the essential elements on functioning of the partnership, and contains the mutually agreed new state health facility projects to commence over the next three financial years (2011/12 – 2013/14); also initiate an electronic management cockpit to be used by the Minister for real-time monitoring of progress with the priority land/facility projects.
- Document a broad policy and strategic framework for innovative asset management approaches and models that will maximise revenue streams for DPW, without decreasing the asset base of the Western Cape Provincial Government; this policy framework should include reference to inner city renewal in Cape Town, as well as asset-based urban regeneration and economic development in other larger towns of the Western Cape (e.g. George, Mossel Bay, Oudtshoorn, Hermanus, Paarl/Wellington, etc)
- Make recommendations in regards to updating of the asset register of DPW, including reference to effecting transfer of properties that are not transferred to DPW yet, as well as sophisticated ICT solutions that will modernise DPW's asset management to international best practice standard

**6.4.2** The 'policy think tank' (Ministerial advisory group) should have as members experts from outside DPW, but will have to engage with the DPW top management (Head of Department; Chief

Director of Property Management; Director of Property Development) in a partnership context in order to have the HFPC established within a time frame as specified by the Minister.

## **6.5 CONCLUSION**

Although the Department of Transport & Public Works (DPW) does excellent work in its extremely complex task of protecting and developing the immovable assets (land and buildings) of the Western Cape Provincial Government, there is room for improvement in its policy programme for land provision towards new state health facilities. Key to improved delivery will be to find agreement with its client department (Department of Health) on how to cooperate more effectively, and ensure that the two departments jointly implement the delivery of new state health facilities in a far more satisfactory and effective manner, to the benefit of society, especially the majority of South African citizens who rely on the state to provide them with a quality health service.

Exciting indeed, is the prospect that synergistic collaboration between two large government departments in the Western Cape, and the utilisation of intellectual approaches that transcend narrow, fear-based political power contestations, can have a positive spill-over into other South African provinces, and into Southern Africa and beyond.

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